

2014

# **Management Procedures & Guidelines**

for Cooperative Agreements

## **IMPORTANT**

This document will apply to solicitations for grant applications issued and cooperative agreements funded with fiscal year 2014 appropriations by the U.S. Department of Labor, Bureau of International Labor Affairs, Office of Child Labor, Forced Labor and Human Trafficking. This document may be revised, as necessary.

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*U.S. Department of Labor  
Bureau of International Labor Affairs  
Office of Child Labor, Forced Labor and Human Trafficking*

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## I. List of Acronyms

CFR	Code of Federal Regulations
CMEP	Comprehensive Monitoring and Evaluation Plan
CSEC	Commercial Sexual Exploitation of Children
DBMS	Direct Beneficiary Monitoring System
FFR	Federal Financial Report
GOR	Grant Officer's Representative, in OCFT
GPRMA	Government Performance and Results Modernization Act
HHS-PMS	Department of Health and Human Services Payment Management System
ILAB	Bureau of International Labor Affairs
ILO-IPEC	International Labor Organization International Program on the Elimination of Child Labor
M&E	Monitoring & Evaluation
MPG	Management Procedures and Guidelines
NGO	Non-Governmental Organizations
OCFT	Office of Child Labor, Forced Labor and Human Trafficking
PMP	Performance Monitoring Plan
SF	Standard Form
SCA	Solicitation for Cooperative Agreement Applications
TPR	Technical Progress Report
USDOL	U. S. Department of Labor
VAT	Value Added Tax

## II. Introduction

This document provides general management procedures and guidelines for Cooperative Agreements entered into by the U.S. Department of Labor's (USDOL) Bureau of International Labor Affairs/Office of Child Labor, Forced Labor and Human Trafficking (ILAB/OCFT). The Cooperative Agreement recipient (hereinafter referred to as "Grantee") of USDOL funds from OCFT are subject to the provisions contained in these Management Procedures and Guidelines (MPG).

The MPG contains information that may not be explicitly detailed in the relevant Solicitation for Cooperative Agreement applications (SCA) or Cooperative Agreement and provides examples of the format for deliverables. However, not all sections of the MPG will apply to all projects. In cases where the MPG and Cooperative Agreement are not aligned, the Cooperative Agreement Special Provisions take precedence. The Grantee should contact USDOL if further clarification is necessary.

Additionally, the Grantee must comply with all applicable Federal Regulations.

Note that USDOL may revise the MPG as needed, and any new or revised provisions will apply to this award and will be incorporated by reference via modification to the Cooperative Agreement.

## III. Roles and Responsibilities of USDOL and Grantees

The principal purpose of the USDOL-Grantee relationship is the transfer of money, property, services, or anything of value to the recipient in order to accomplish a public purpose of support or stimulation authorized by federal statute. The primary recipient is not allowed to charge a fee (profit).

ILAB's mission is to improve working conditions, raise living standards, protect workers' ability to exercise their rights, and address the workplace exploitation of children and other vulnerable populations. The mission of OCFT is to promote the elimination of child labor and forced labor through policy,

research, and technical assistance projects. Projects funded by USDOL support this mission. In addition, these projects also support the U.S. Government’s National Action Plan on Children in Adversity (<http://www.usaid.gov/children-in-adversity>).

In general, ILAB/OCFT uses a Cooperative Agreement modality with its Grantees. A Cooperative Agreement is a form of a grant where substantial involvement is anticipated between USDOL and the Grantee during the performance of the proposed activities. The level of monitoring and accountability required by USDOL is less than what is required in a contract, but more than in a regular grant.

USDOL’s involvement focuses on elements that are essential to meet program requirements and assure achievement of program objectives. USDOL involvement includes the designation of key personnel positions and the approval of key personnel; collaboration with the Grantee in order to refine the project strategy, the baseline and follow-up or endline survey methodology, the project performance indicators and to develop a Comprehensive Monitoring and Evaluation Plan (CMEP); monitoring project implementation through work plans, progress reports, evaluations, attestation engagements, site visits or conference calls with the Grantee; and approval of deliverables outlined in the Cooperative Agreement and MPG. USDOL may refine and approve any requests for modifications to the Cooperative Agreement including technical or budget revisions.

Applicable provisions, including those provided for in the USDOL Cooperative Agreement with the Grantee, apply to subgrants and subcontracts (collectively “subawards”) entered into under USDOL-funded projects.

## IV. Project Implementation Requirements

The Grantee must implement the project according to the applicable USDOL SCA, the Cooperative Agreement, and the Grantee’s approved technical and cost proposal. In addition, the Grantee must adhere to the requirements and deliverables as described in the MPG, as applicable to the project.

### 1. General Timetable of Deliverables

Subsequent to the signing of the Cooperative Agreement, the Grantee will provide the following information/deliverables to USDOL, as applicable to the project and unless other deadlines or deliverables are specified in the applicable SCA or Cooperative Agreement:

DEADLINE <sup>1</sup>	DELIVERABLE
<b>Quarterly:</b> January 30, April 30, July 30, October 30	Federal Financial Report (FFR) Standard Form (SF) 425
<b>Semi-annually:</b> April 30 and October 30	Technical Progress Report (TPR), with all required attachments including the government Subaward Matrix, common indicators, updated work plan.
Within <b>12 months</b> of award and <b>Bi-annually</b>	Equipment and Real Property Inventory List submitted to Grant Officer
Within <b>30 days</b> of award	Contact information for Grantee provided to USDOL, including name, address, phone and email of point of contact at Grantee headquarters and in the project country(ies).
Within <b>45 days</b> of award	Written notification that key personnel have begun to work on the project.
Within <b>3 months</b> of award	Project Document (initial draft) Draft Performance Monitoring Plan (PMP), only applicable to

<sup>1</sup> All deadlines specified therein refer to calendar days. If a particular calendar day falls on a weekend or holiday the deadline will refer to the following business day.

	projects not participating in the CMEP process; refer to the SCA and Cooperative Agreement.
Within <b>3 months</b> of CMEP workshop (as applicable)	Project Document (final draft)
Within <b>4 months</b> of award and as applicable	Government Subaward Matrix.
Within 4 months of award	Baseline Survey Terms of Reference submitted
Within <b>7 months</b> of award	Sustainability Strategy. Baseline Survey initiated.
TBD based on coordination with USDOL; generally within <b>9 months</b> of award	CMEP finalized, through collaboration between Grantee, USDOL, and USDOL’s monitoring and evaluation (M&E) contractor.
Within <b>12 months</b> of award	Baseline Survey Report Package
Within <b>13 months</b> of award	Review of project strategy based on baseline survey report conducted within 4 weeks of completing the baseline report. Project Revision Request submitted to USDOL, if necessary, to revise the project strategy.
At least 6 to 8 months prior to the end of the Cooperative Agreement period	Follow-up or Endline Survey Terms of Reference submitted.
At least <b>6 to 8 months</b> prior to the end of the Cooperative Agreement period	Follow-up or Endline Survey begun.
At least <b>1 month</b> prior to the end of the Cooperative Agreement	Follow-up or Endline Survey Report Package submitted.
At least <b>120 days</b> prior to the end of the Cooperative Agreement period	Government Property Inventory Disposition Request; inventory list of all real property, equipment with an acquisition value of USD 5,000 or more per unit, and supplies if aggregate value exceeds USD 5,000.
At least <b>1 month</b> prior to the end of the Cooperative Agreement period	Follow-up or Endline Survey Report Package
Within <b>90 days</b> after the end of the Cooperative Agreement period	Closeout Documents Checklist; Final TPR; Final Quarterly FFR/SF-425; Closeout Financial Form; Recipient’s Release Form; Government Property Closeout Inventory Certification.

## 2. Required Project Components

### 2.1. Project Document

The Grantee is required to carry out a review of the project strategy and project budget included in their proposal and produce a Project Document, in consultation with OCFT within three months of award. Operating within the scope of the approved proposal, the OCFT Grant Officer’s Representative (GOR), as named in the Cooperative Agreement, will be involved in the development, review, and approval of the Project Document. The final Project Document (which may include refinements to the project strategy/budget) is subject to final approval by the GOR and Grant Officer. Following that review process, if further refinement of the project strategy or budget are determined to be needed by the Grantee or OCFT, the Grantee will be required to consult with the GOR in preparing and then submitting a Project Revision Request to the Grant Officer proposing refinements to the project strategy and budget. The Grantee must submit a Project Revision request, as described in the [Project Revisions](#) section below.

### 2.2. Government Subaward Matrix

Grantees must submit a Government Subaward Matrix to the GOR within four months of award if the

Grantee proposes to make a subaward to a government entity. If the Grantee proposes to make a new subaward to a government entity at any time during the project implementation period, the Grantee must first submit an updated Government Subaward Matrix to the GOR for review. See the [Funds to Host Country Governments](#) section below and the sample template in [Annex VI: Government Subaward Matrix](#).

### **2.3. Grantee Post-Award Baseline Survey and Follow-up or Endline Surveys**

For those projects with direct beneficiaries, OCFT requires the project to conduct baseline and endline surveys to understand changes in key variables among project beneficiaries that occur during the life of the project.

#### **2.3.1. Baseline Survey**

The Grantee is expected to begin a baseline survey within the first seven months of award, and must conduct the survey prior to the start of project interventions that involve substantive interactions with beneficiaries; preparatory activities that do not involve substantive interaction with beneficiaries may take place prior to the baseline. Furthermore, full project activities can begin once the fieldwork is completed; projects do not need to wait until the baseline report is submitted. Before conducting the baseline survey, the Grantee should contact the OCFT GOR for consultation on the planned survey methodology, and Grantees also should note that OCFT review and approval of the survey Terms of Reference is one of the required project deliverables. In addition to the Baseline and Follow-Up or Endline Survey Guidance, OCFT can make sample survey Terms of Reference available, and grantees may request technical assistance from OCFT M&E staff at any time. Also, the development of Grantees' Comprehensive Monitoring and Evaluation Plans (CMEPs), preparation for which will begin at the Grantee Orientation, can greatly assist grantees in developing questions and indicators for the baseline survey.

For detailed requirements for baseline surveys, please refer to Annex X: Baseline and Follow-up or Endline Survey Guidance. As an Annex to this MPG, the requirements in that guidance are binding for grantees.

#### **2.3.2. Baseline Findings Strategy Review**

In consultation with OCFT, Grantees may use information gathered by a baseline survey to propose adjustments in the project, as appropriate. Within one month of completing the summary report, the Grantee must review the proposed project strategy to determine whether any modifications are needed in light of new information about the project's implementing environment, intended project beneficiary children, or households, or targeted geographic areas. The Grantee must inform the GOR of the dates for the Strategy Review at least four weeks in advance and OCFT retains the option to participate.

In the case that the Grantee determines that the implementation strategy or budget should be revised, the Grantee should contact the GOR to determine whether a Project Revision is necessary. The Grantee must submit a Project Revision request, as described in [Project Revisions](#), to the GOR within four weeks of the strategy review.

#### **2.3.3. Follow-Up or Endline Survey**

A Follow-up or Endline Survey must be initiated four to six months before the end of the Cooperative Agreement period. Grantees should note that OCFT review and approval of the survey Terms of Reference is one of the required project deliverables. In addition to the Baseline and Follow-Up or Endline Survey Guidance, OCFT can make sample survey Terms of Reference available, and grantees may request technical assistance from OCFT M&E staff at any time. The follow-up or endline survey should measure possible outcomes and impacts of the project interventions, including working and education status of direct beneficiaries, changes in socio-economic status of households, and other areas relevant to the project. The follow-up or endline survey should include an analysis on change in project beneficiaries over time.

For detailed requirements for follow-up or endline surveys, please refer to Annex X: Baseline and Follow-up or Endline Survey Guidance. As an Annex to this MPG, the requirements in that guidance are binding for grantees.

## **2.4. Comprehensive Monitoring and Evaluation Plan (CMEP)**

As specified in the Cooperative Agreement, for projects that include a CMEP, the Grantee must collaborate with OCFT and a USDOL External M&E Expert to develop a CMEP within the first nine months of project award. The CMEP is a tool to integrate and guide the process of monitoring, evaluating, and reporting on project progress toward achieving intended results and outcomes. The CMEP also serves as a management tool and facilitates managing for results. It is intended to improve project implementation by generating greater holistic understanding of a project's activities and goals with a greater focus on measuring outcomes. It promotes a strong link between project monitoring and evaluation activities, including establishing timelines for these activities so that they inform and build on one another and provide a full feedback loop.

The CMEP helps identify the linkages between the problems a project aims to address and project activities and strategies through a visual and narrative theory of change. It contains indicators to track project efforts at the output, outcome, and impact levels. The CMEP includes a formal plan and framework for data collection of the developed indicators that clearly defines the different levels of indicators (e.g., output, outcome), which indicators will be tracked and reported upon, how (sources of data), why (purpose/usage), by whom (responsible parties for gathering, analyzing, and disseminating data), and the regularity of data collection. The CMEP will also describe when and how evaluations will be developed and implemented. Grantee must report on progress towards the project's indicator targets through their Technical Progress Reports (TPRs) every six months.

CMEPs must include the applicable OCFT common performance indicators (education, livelihoods, and country capacity), as well as project-specific indicators to monitor the work status of children.<sup>2</sup> Through the CMEP process, each project will develop an indicator/indicators and definitions for measuring the work status for each child receiving a direct education service (both children at high risk and those engaged in child labor). The work and education status of children must be monitored and reported on in the TPRs at least every six months. The frequency of monitoring households receiving livelihood services will be determined through the CMEP process and will be dependent on the type of services being provided. For households that are receiving livelihood services, but where children are not receiving direct education services, Grantees are expected to monitor the work status of children living in the household. The specific monitoring requirements for those children will be decided through the CMEP process within the context of each individual project.

The strategy for monitoring child beneficiaries' work status should take into account those times when children are out of school and likely to engage in child labor (*i.e.*, before and after school, on weekends, and during school holidays or vacation periods), and propose specific efforts to monitor children's work status during those periods. The project's monitoring of children must include a strategy for verifying and documenting the age of child beneficiaries including for beneficiaries without official proof of age.

### **2.4.1. Overview of CMEP Components**

The CMEP will include the following components:

- Project theory of change (both a narrative and in the form of a Results Framework diagram, see

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<sup>2</sup> For further information regarding OCFT's common performance indicators, refer to [Annex III: Companion to the USDOL Common Indicator Spreadsheet](#).

[Annex IX: Results Framework](#));

- Problem analysis
- Key activities by outcome;
- Performance Monitoring Plan containing performance indicators at the output, outcome, and impact levels (including definitions, targets, frequency of collection, source, etc.);
- Data Collection Table to guide collection of performance data;
- Data Quality Assessment Checklist;
- Overall plan for project evaluation, including project monitoring and evaluation mechanisms and processes; and
- Internal project guidelines to outline methods and rules of data collection, storage, processing, analysis, and reporting, including responsible parties and the frequency of reporting;
- Overview of Baseline Survey

At the start of the CMEP development process, grantees will be provided with detailed information on the required CMEP components and templates to be used to draft the CMEP. Grantees may not alter or eliminate any of the required components, their formats, or required content.

#### **2.4.2. Process of Developing CMEPs**

The development of the CMEP will be done with the support of a USDOL-funded External M&E Expert. The Grantee will be required to work closely with the contractor and OCFT throughout the process. The CMEP should be completed within nine months of project award date. Certain components of the CMEP, such as the project indicators, will be developed as early as possible in the process so that the indicators may inform the project baseline survey.

The Grantee will collaborate with the External M&E Expert and OCFT to develop the CMEP, beginning with an initial consultative workshop within the first few months of project start-up. USDOL, the grantee, and the External M&E Expert will jointly consult to establish the dates for the workshop within a reasonable timeframe. . The Grantee should be prepared to dedicate up to one work week of key staff time (including the project director, M&E specialist, other M&E officers, and any area specialists) to this workshop, and should allocate budget resources as described in the Cost Proposal section of the SCA. At the workshop, the External M&E Expert will provide the Grantee with technical training to introduce key concepts of the CMEP, and will work with the Grantee to develop initial drafts of the theory of change and Results Framework components of the CMEP. The External M&E Expert, in collaboration with the Grantee and OCFT, will also develop a detailed Work Plan to schedule and track the development of the CMEP at this workshop.

After the workshop, through phone calls, video conferencing, and/or emails, the Grantee will revise and finalize the CMEP components in collaboration with OCFT and the External M&E Expert within the allotted timeframes. This will generally entail providing a complete first draft of each of the components, reviewing comments provided by the External M&E Expert and OCFT, revising draft components as needed, and undertaking technical consultations with the External M&E Expert as needed. This will require dedicated staff time in the first several months of the project, and depending on the CMEP component being drafted, could involve one to two weeks of staff time per month.

The External M&E Experts will conduct a second in-country workshop (generally about 3 days in duration, but can be up to 5 days) to provide further technical assistance in support of CMEP finalization and implementation, including refinement of indicators, targets, and data collection mechanisms. The timing of the second workshop will be determined in consultation with the Grantee and OCFT. After the second workshop, the External M&E Expert will be responsible for collating all of the components into the overall CMEP. The Grantee will be responsible for submitting the final CMEP for approval to OCFT, implementing the CMEP, and updating it, as needed, in consultation with OCFT.

## **2.5. Direct Beneficiary Selection Criteria**

Grantees must develop specific criteria for selecting direct beneficiaries for education and livelihood service provision. The criteria for identifying children engaged in child labor should incorporate the target country's legislation related to child labor, including laws pertaining to the worst forms of child labor; minimum age for work; acceptable hours and conditions for children's work; and national policies related to child labor, such as a country's list of hazardous work for children as submitted to the International Labor Organization (ILO). The criteria for identifying children at high-risk of entering child labor must be based on the definitions as described in [Annex VIII: Terms and Definitions](#), and adapted to the country context and specific conditions facing children in the target geographic area(s). Selection criteria for direct beneficiaries may be refined in consultation with OCFT as a result of baseline data collection.

## **2.6. Direct Beneficiary Monitoring System (DBMS)**

The Grantee should note that, in order to meet monitoring requirements, the Grantee is responsible for developing a Direct Beneficiary Monitoring System (DBMS). The DBMS will be developed by the Grantee at the same time as the CMEP. The USDOL External M&E Expert will provide guidance as needed, and the elements of the DBMS will be incorporated into the CMEP. The work and education status of children must be included in the DBMS and be monitored and reported on every 6 months. The Grantee will be responsible for managing the DBMS and reporting against established indicators and goals.

## **2.7. Performance Monitoring Plan (PMP)**

Some projects require a PMP in place of the CMEP; Grantees should refer to their particular SCA and Cooperative Agreement to determine whether the PMP is required. The draft PMP must be submitted to the GOR within three months of award, and will then be finalized in consultation with OCFT.

The PMP must be based on the project's Results Framework and serves three primary functions: 1) to delineate the data collection process; 2) to ensure data comparability; and 3) to guide data analysis. A PMP, therefore, must contain the following information:

- Definition of each indicator and unit of measurement and corresponding targets for each indicator;
- Description of each indicator data source;
- Method of data collection or calculation;
- Frequency and schedule of data collection;
- Institution(s) or person(s) responsible for ensuring data availability;
- Type or frequency of data analysis and person/institution responsible for data analysis; and
- Cost of data collection.

## **2.8. Safe and Healthy Learning Environments**

USDOL supports the provision of safe and healthy learning environments. USDOL expects that its Grantees will seek to ensure that goods, services, and schools and other learning environments (including restroom facilities), sponsored by and/or associated with the Grantee, partner, and/or subrecipient are safe and pose no threat to the mental or physical well-being of project beneficiaries.

The Grantee is required to conduct a needs assessment of learning environments and develop a plan to inspect schools and other learning environments attended by direct beneficiaries; identify those with conditions that present risk of illness or injury to the health or safety of the children; and, if necessary, develop and implement an action plan for mitigating such risks during the life of the project.

If, after conducting the required needs assessment and inspection of schools and other learning environments attended by direct beneficiaries, a Grantee determines that additional funding for construction beyond the initially approved amount is needed in order to make schools or other learning environments safe and/or protect the health of the project's direct beneficiaries, the Grantee should notify the GOR as soon as possible. Funding for construction must not exceed 10 percent of the project budget without prior approval by the Grant Officer. Grantees unable to adhere to this threshold given the state of

school conditions must (1) use alternative sites for the delivery of project services or 2) propose a Budget Revision that would allow for the reallocation of sufficient project funding to cover the costs of improvements needed to ensure the provision of safe and healthy learning environments for children. See the [Budget Revisions](#) and [Construction](#) sections below.

### **2.9. Sustainability Strategy**

Grantees must submit to the GOR their strategy for promoting sustainability, including a strategy for building local capacity as a means to promote the sustainability of efforts to combat child labor beyond the life of the project, within seven months of award. Grantees' strategies should explain how the project's specific objectives will be sustained after the project ends. Grantees will report on the progress of the sustainability plan in each of their TPRs.

Although, there are restrictions on the award of subgrants or subcontracts to government entities, to the extent possible, Grantees should consider engaging relevant government agencies through other mechanisms, as well as partnering with other organizations or associations to strengthen their capacity in areas including advocacy and awareness-raising on child labor issues. As part of a sustainability strategy, Grantees should also aim to work with companies and/or industry groups to develop and/or improve their voluntary social compliance practices regarding child labor.

### **2.10. Research**

In projects where the Grantee is required to conduct project-specific research, the Grantee is expected to implement the research proposed in their application, subject to final approval by the GOR, during project implementation. However, USDOL recognizes that the need for different or additional research topics may be discovered during project implementation, including after conducting the [Baseline Survey](#). The Grantee is encouraged to contact the GOR to present new research suggestions and request approval for any change to the approved research topics.

As needed, Grantees should consider engaging local research organizations, especially universities to design and conduct the proposed research activities. The Grantee's dissemination strategy should ensure that the project's research outputs, including data sets and reports, endure beyond the life of the project. USDOL expects Grantees to implement dissemination strategies that will ensure that research is widely distributed and available to the public, including through the use of creative means such as Web-based platforms. Dissemination strategies should be practical and appropriate, given the implementing environment and cultural and social context in target areas. The Grantee must provide a justification for the research design (qualitative, quantitative, and/or mixed-methods). Proposed research methodologies are subject to final approval by the GOR.

All research conducted using USDOL funding must be summarized into a report and presented to the GOR for review immediately upon completion, and no later than the end of the Cooperative Agreement period. At minimum, the report must include the research purpose, research questions, sample, methodology, data analysis, and findings. All research reports must include a cover page with the title, date, author, and publishing organization. Once reviewed and approved by the GOR, Grantees must disseminate their findings publicly, unless an alternative plan for dissemination has been confirmed with the GOR. See the [Information Dissemination and Intellectual Property](#) section for more information.

Grantees should also note that per Cost Proposal requirements in the SCA, research activities should not be included in the M&E budget, and must be budgeted for separately.

## **V. Project Reporting Requirements**

In the Cooperative Agreement, USDOL and the Grantee have agreed on reporting procedures. The following procedures satisfy U.S. Government reporting requirements and those related to the Government Performance and Results Modernization Act (GPRMA).

## 1. Technical Progress Reports

TPRs must be sent electronically to the GOR by the deadlines listed below. If the Grantee cannot submit a report by the deadline, the Grantee is expected to inform the GOR by email at least 10 days before the required deadline of the cause for the delay and the date when the report is expected to be submitted.

Technical progress reports are meant to serve as an official record of project progress and performance. The format for the TPRs is provided in [Annex I: Technical Progress Report](#). Attachments that cannot be sent electronically must be sent in hard copy by mail (accompanied by an email message alerting the GOR of its pending arrival). Grantees must complete all applicable sections of the TPR template and submit all required annexes and attachments with each report. Refer to box 10 on the TPR cover page for a list of required attachments including:

- USDOL Common Indicator Spreadsheet
- Country Capacity Targets (submitted with each October TPR for the following fiscal year)
- Status of Project Performance Against Indicators
- Response to Donor Comments from Last Technical Progress Report
- Update on Project Activities in Response to Evaluation and Audit Recommendations
- Updated Project Work Plan
- Status of Value Added Tax (VAT) Exemption
- List of Acronyms Used in the TPR

Each report must provide sufficient information to satisfy USDOL requirements under GPRMA, including submission of the common indicator tables with data on increased country capacity, educational services to children, and livelihood services to households. USDOL is expected to inform the Grantee about specific GPRMA goals and indicators to be measured, as well as to inform the Grantee in cases where further information is needed to satisfy GPRMA reporting requirements. For reporting templates and definitions, please refer to [Annex I: Technical Progress Report](#), [Annex II: Common Indicator Tracking Form \(sample\)](#), and [Annex III: Companion to the USDOL Common Indicator Spreadsheet](#).

USDOL may follow-up on information provided in reports with comments or additional questions to the Grantee. In these cases, the Grantee may be requested to respond to USDOL comments within a specific timeframe, or be submitted with the subsequent TPR.

### 1.1. Semi-Annual Technical Progress Reports

The Grantee must submit semi-annual TPRs to the GOR using the sample template in [Annex I](#) no later than April 30 and October 30, covering a 6-month period, as indicated in Table 1.

Table 1. TPR Timeline

Report	Report Period	Submission Deadline
April TPR	October 1-March 31 (6 months)	April 30
October TPR	April 1-September 30 (6 months)	October 30

### 1.2. Quarterly Status Reports

USDOL may require quarterly technical Status Reports in addition to the semiannual TPRs. In the event that quarterly reporting is required, the GOR will communicate this requirement to the Grantee in writing. Quarterly Status Reports should follow the same format as the TPRs, provided in [Annex I](#) and include the same attachments.

Quarterly Status Reports must be submitted to the GOR by the Grantee no later than January 30 and July 30, covering a 3-month period, as indicated in Table 2.

*Table 2. Quarterly Status Report Timeline*

<b>Report</b>	<b>Report Period</b>	<b>Submission Deadline</b>
July Status Report	April 1-June 30 (3 months)	July 30
January Status Report	October 1-December 31 (3 months)	January 30

### **1.3. USDOL Common Indicator Spreadsheet**

As required by the GPRMA, all projects must set annual targets and report on their performance against the USDOL Common Indicators. See [Annex II](#) and [Annex III](#) for more information on the Common Indicators.

A separate Excel file is provided by OCFT to report on the education and livelihood Common Indicators and the completed file must be submitted as an attachment to each TPR. The country capacity indicator is included in the TPR template.

### **1.4. Status of Project Performance against Indicators**

In addition to the Common Indicators, each project must establish project-specific performance indicators. These will be refined through collaboration with OCFT and with the USDOL External M&E Expert through the CMEP or other process as determined in the Cooperative Agreement. Once finalized, targets must be established for these indicators and the Grantee must report on their performance against these indicators as an attachment to each TPR.

Projects must also monitor the work status of all beneficiary children, both those at high risk and those engaged in child labor. The work status of beneficiary children must be included in each TPR.

OCFT and the USDOL M&E Expert will provide grantees with a template for reporting on project-specific indicators.

### **1.5. Work Plan**

The Grantee is responsible for submitting an updated Work Plan for the life of a project as an Annex to each TPR. The Work Plan should identify major project activities, deadlines for completing these activities, and person(s) or institution(s) responsible for completing these activities. Updates should include any significant change in a planned project activity or the activity implementation timeframe.

### **1.6. Final Technical Report**

The Grantee must submit a Final Technical Report to the GOR, using the TPR format in [Annex I](#), no later than 90 days after the project completion date.

The Final Technical Report is a stand-alone report that provides a complete and comprehensive summary of the progress and achievements made during the total life of the project. The cover page must include actual dates for evaluations and a revised completion date, if applicable. The latest Work Plan and the CMEP (including all components) must be submitted along with the report. The report must also include information on the closeout process, including the dates that subawards were closed and the financial closeout (including plans for property disposition at the end of the project). For regional projects, the report is expected to include an estimate of total expenditures per country.

Final Technical Reports are expected to provide the following specific information:

- An assessment of achievement in terms of efficiency, effectiveness, relevance, sustainability, and interrelationships between objectives. If information is missing or not applicable, the Grantee should indicate and explain why in a footnote. A narrative assessment is expected to be provided for each indicator.

- A table including the actual life-of-project reporting figures for project beneficiaries. These numbers must be consistent with what has been reported in the Common Indicator Tracking Forms for GPRMA. If the numbers differ from those previously reported, the Grantee must explain a) the changes to the figures and b) the reason for change.
- A final and complete list of subawards, including the name of the funded entities, activities or services performed, program duration, the approved budget, actual expenditures, delivery rate, date of closeout, and any additional remarks.
- An assessment of project sustainability as outlined in the Grantee’s sustainability strategy. The assessment must be linked to project impact and the ability of individuals, communities, and nation to ensure that the activities or changes implemented by a project endure.

## 2. Reporting Problems Encountered

The Grantee is expected to notify the GOR immediately of any developments, problems, delays, or adverse conditions that may have a significant impact on project implementation or which may materially impair the Grantee’s ability to meet the project objectives. The Grantee is also expected to identify such issues in their TPRs. USDOL will work with the Grantee to monitor and resolve any issues as necessary.

Additionally, should any information, suspicion, or allegation relating to waste, fraud, or abuse of USDOL funds come to the attention of the Grantee, the Grantee must contact the GOR immediately. The Grantee must describe in writing any action taken, or contemplated to be taken, to investigate, and, if necessary resolve the situation, and a timeframe for doing so.

### 2.1. Corrective Action

USDOL may require the Grantee to participate in a Corrective Action process, in response to concerns about the project performance. Depending on the nature of the concern with the project performance, USDOL may request that the Grantee participate in conference calls or meetings with USDOL to review the status of project implementation, USDOL may conduct a site visit or schedule an attestation engagement with the project. USDOL may require that the project prepare a corrective action plan to submit to USDOL, and may require quarterly Status Reports, revised Work Plans, or other documents to allow USDOL to monitor project performance more frequently and in more detail.

## 3. Financial Reports

### 3.1. Quarterly Federal Financial Report SF 425

All Grantees must submit quarterly financial reports using the FFR/SF425 throughout the Cooperative Agreement period. The FFR/SF-425 indicates the status of funds at the project level. The Grantee must submit an updated FFR/SF-425 electronically through the *E-grants* system no later than 30 days after the end of each quarter as outlined below in Table 3. See [Annex V: Federal Financial Report \(sample\)](#) for an example of SF-425.

*Table 3. FFR/SF425 Timeline*

Report	Report Period	Submission Deadline
FFR/SF-425	October 1 – December 31	January 30
FFR/SF-425	January 1 – March 31	April 30
FFR/SF-425	April 1 – June 30	July 30
FFR/SF-425	July 1 – September 30	October 30

### 3.2. Matching/In-Kind Contributions

Matching and in-kind contributions included in the Grantee’s Application for Federal Assistance, SF 424, must be reported quarterly in the FFR/SF425. Such matching and in-kind contributions must abide by the

same restrictions as funds awarded under the Cooperative Agreement. USDOL policy allows for leveraging and cost sharing in the provision of direct services; however, matching contributions must be approved by USDOL either during the proposal approval process or through a project revision, if the Grantee elects to declare these funds. In addition, the Grantee is required to obtain USDOL approval to report direct beneficiaries for GPRMA purposes when the beneficiary services are not fully funded by USDOL.

Cost sharing, including funds from subrecipients and/or subcontractors, must be used to support the work of the project or defray its costs. Applicants may not make the award of a subgrant or subcontract contingent upon a subrecipient agreeing to provide matching funds.

### **3.3. Final Federal Financial Report SF 425 and Closeout Financial Form**

A final FFR/SF-425 quarterly report and a Closeout Financial Form must be submitted electronically through the *E-grants* system no later than 90 days following completion of the Cooperative Agreement period.

### **3.4. Expense Status Report**

It is also recommended that the Grantee submit on a semi-annual basis, with each TPR, an update of the project's detailed output-based budget, or a Financial Status Report that provides information on total allocations, expenditures, commitment of balances and project balance by budget categories identified in SF 424A (Budget Information Form).<sup>3</sup> Providing this information will help the Grantee and USDOL keep track of authorized expenditures and protect the Grantee from exceeding authorized limits.

## **4. Inventory List of all Equipment and Real Property**

The Grantee must submit an inventory list of all equipment and real property to the Grant Officer within 12 months of award, subsequently at any time that additional equipment or real property is purchased with project funds, and at least once every two years, consistent with the regulations applicable to "Property Standards" at 29 CFR 95.34 (see [Annex VII: Inventory List Template \(Sample\)](#)).<sup>4</sup>

The Inventory must also be submitted as part of the project closeout. See [Project Closeout Procedures](#) below.

## **VI. Communication**

Effective communication is essential to the successful collaboration between USDOL and the Grantee. Both parties are expected to keep the other fully informed of project-related issues.

The Grantee's primary point of contact with USDOL regarding technical matters is the OCFT GOR, as named in the relevant Cooperative Agreement. In some instances, there may be a different individual other than the GOR responsible for oversight of the Cooperative Agreement. In these circumstances, USDOL will specify the Grantee's primary point of contact within OCFT. If the Grantee is unable to contact the primary point of contact, the Grantee is advised to communicate with the relevant OCFT Division Chief.

### **1. Formal Communication**

Within 30 days of award, the Grantee must designate a person(s) who will serve as the point of contact at their headquarters. The name of a point person(s) in the field shall also be identified.

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<sup>3</sup> A sample SF 424A is available at: <http://apply07.grants.gov/apply/forms/sample/SF424A-V1.0.pdf>.

<sup>4</sup> **Equipment** means tangible nonexpendable personal property, including exempt property charged directly to the award, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit (29 CFR 95).

All formal communication will be in writing, by post, fax, or email, between USDOL and the Grantee's headquarters, if applicable. Any correspondence sent by mail or courier to USDOL should be accompanied by an email message to the GOR alerting USDOL of its pending arrival. Any mail or courier delivery should be addressed to the GOR at:

U.S. Department of Labor,  
Bureau of International Labor Affairs, Room S-5317  
200 Constitution Avenue, NW  
Washington D.C. 20210  
United States

In addition, either party (the Grantee or USDOL) may request a telephone conference consultation at any time to discuss project related matters.

## **2. Press Communication**

To the extent possible, the Grantee must inform the GOR and the US Embassy in advance of press releases, major press events, and/or interviews. The Grantee should make every effort to inform OCFT and the US Embassy with as much advance notice as practicable. The Grantee should provide OCFT with copies of all press releases, as well as copies of press articles and notification of media or internet broadcasts.

## **3. Responding to Allegations about the Project**

If problems or allegations about the project are reported, USDOL intends to consult with the Grantee to determine the proper and most efficient manner to respond to news stories and other issues affecting the project. USDOL expects to work together with the Grantee, where appropriate, to resolve such matters. See [Reporting Problems Encountered](#).

## **4. Guidelines for Acknowledgment of USDOL Funding and USDOL Disclaimer**

The Grantee must acknowledge USDOL funding support in all publications, announcements, speeches, and press releases relating to the projects. The acknowledgement must be as follows:

***Funding for this project was provided by the United States Department of Labor.***

In addition, the Grantee is required to include a disclaimer in publications and materials that have been directly funded by USDOL as follows:

***This material does not necessarily reflect the views or policies of the United States Department of Labor, nor does the mention of trade names, commercial products, or organizations imply endorsement by the United States Government.***

This acknowledgment and disclaimer must be included in documents (reports and other materials) produced, edited and published for distribution beyond the Grantee and USDOL (i.e., to other donors, organizations, or the general public).

If there are any reasons preventing the Grantee from including the USDOL acknowledgment or disclaimer in the publications listed above, the Grantee must discuss the issue with the GOR prior to publication to obtain appropriate guidance on the matter.

Subject to prior USDOL approval, the Grantee may apply the USDOL seal to USDOL-funded material prepared for distribution, including posters, videos, pamphlets, research documents, national survey reports, impact evaluations, best practices reports, and other publications of global interest. A Grantee must consult with the GOR on whether the seal may be used on any such items prior to final draft or final presentation for distribution. A Grantee must obtain USDOL written permission before placing the USDOL seal on any item.

## 5. Social Media

Grantees utilizing social media to share information regarding USDOL-funded projects must provide OCFT with the appropriate URLs to access this information. This information is subject to the requirements of [Guidelines for Acknowledgment of USDOL Funding and USDOL Disclaimer](#) above.

## 6. Information Dissemination and Intellectual Property

The Grantee must make select USDOL-approved project materials and research outputs available to the public via the Grantee's Web site or other means within 45 days of availability of such project materials or completion of each output. The Grantee will inform the GOR of the dissemination plan and notify the GOR prior to publication.

Select materials and research outputs include, but are not limited to, 1) project abstracts; 2) baseline and follow-up studies; and 3) rapid assessments. In so doing, the Grantee disseminates information about child labor in the project country(ies) and promotes both best practices in combating child labor, as well as cooperation with other child labor related projects. Distributing project information and collected data allows awareness raising objectives to be met and also provides raw data to enable future research. However, if the Grantee believes that any such materials should not be made publicly available, the Grantee must inform and obtain the GOR's agreement in writing.

All published documents must comply with Section 508 of the Rehabilitation Act of 1973, as amended. Grantees must format these documents into a publication-ready document for the final draft submission to the GOR. Publication-ready means the report is formatted for Section 508 compliance, does not disclose personally identifying information about the researcher or the interview subjects, is well-written in English, and is free of typographical errors. For more information on compliance with Section 508 of the Rehabilitation Act, see <http://www.section508.gov> and <http://www.access-board.gov>.

The Grantee may copyright works created or for which ownership was purchased with USDOL funds; however, USDOL reserves a royalty-free non-exclusive and irrevocable right to obtain, copy, publish, or otherwise use such works for Federal purposes and to authorize others to do so. See 29 CFR 95.36.<sup>5</sup>

## 7. Transparency

USDOL is committed to conducting a transparent grant award process and publicizing information about program outcomes. Posting grant applications on public websites is a means of promoting and sharing innovative ideas. USDOL will publish the Executive Summary for all applications on the Department's website or similar location. Additionally, we will publish a version of the Technical for all those applications that are awarded grants, on the Department's website or a similar location. No other parts of or attachments to the application will be published. The Technical Proposals and Executive Summaries will not be published until after the grants are awarded. In addition, information about grant progress and results may also be made publicly available.

USDOL recognizes that grant applications sometimes contain information that an applicant may consider proprietary or business confidential information, or may contain personally identifiable information. Information is considered proprietary or confidential commercial/business information when it is not usually disclosed outside your organization and when its disclosure is likely to cause you substantial competitive harm. Personally identifiable information is information that can be used to distinguish or trace an individual's identity, such as name, social security number, date and place of birth, mother's maiden name, or biometric records, or other information that is linked or linkable to an individual, such as medical, educational, financial, and employment information.<sup>6</sup>

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<sup>5</sup> To access CFR 29 Part 95, see [http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=e5dfa4446e50c5e327fea3c1a1b313e4&tpl=/ecfrbrowse/Title29/29cfr95\\_main\\_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=e5dfa4446e50c5e327fea3c1a1b313e4&tpl=/ecfrbrowse/Title29/29cfr95_main_02.tpl).

<sup>6</sup> Memorandums 07-16 and 06-19. GAO Report 08-536, *Privacy: Alternatives Exist for Enhancing Protection of Personally*

Executive Summaries will be published in the form originally submitted, without any redactions. However, in order to ensure that confidential information is properly protected from disclosure when USDOL posts the winning Technical Proposals, applicants whose technical proposals will be posted will be asked to submit a second redacted version of their Technical Proposal, with proprietary, confidential commercial/business, and personally identifiable information redacted. All non-public information about the applicant's staff should be removed as well. USDOL will contact the applicants whose technical proposals will be published by letter or email, and provide further directions about how and when to submit the redacted version of the Technical Proposal. Submission of a redacted version of the Technical Proposal will constitute permission by the applicant for USDOL to post that redacted version. If an applicant fails to provide a redacted version of the Technical Proposal, USDOL will publish the original Technical Proposal in full, after redacting personally identifiable information. (Note that the original, unredacted version of the Technical Proposal will remain part of the complete application package, including an applicant's proprietary and confidential information and any personally identifiable information.)

Applicants are encouraged to maximize the grant application information that will be publicly disclosed, and to exercise restraint and redact only information that truly is proprietary, confidential commercial/business information, or capable of identifying a person. The redaction of entire pages or sections of the Technical Proposal is not appropriate, and will not be allowed, unless the entire portion merits such protection. Should a dispute arise about whether redactions are appropriate, USDOL will follow the procedures outlined in the Department's Freedom of Information Act (FOIA) regulations (29 CFR 70).

Redacted information in grant applications will be protected by USDOL from public disclosure in accordance with federal law, including the Trade Secrets Act (18 U.S.C. § 1905), FOIA, and the Privacy Act (5 U.S.C. § 552a). If USDOL receives a FOIA request for your application, the procedures in USDOL's FOIA regulations for responding to requests for commercial/business information submitted to the government will be followed, as well as all FOIA exemptions and procedures (29 CFR 70.26). Consequently, it is possible that application of FOIA rules may result in release of information in response to a FOIA request that an applicant redacted in its "redacted copy."

## **8. Coordination with Key Stakeholders**

Establishing positive relationships is especially important in avoiding duplication of efforts and building synergies between organizations working in the same issue area. The Grantee is expected to work with ILO-IPEC, other USDOL Grantees, and other key stakeholders, including (as applicable): international organizations; non-governmental organizations (NGOs); national steering/advisory committees on child labor and education; faith and community-based organizations; trade unions, employers' and teachers' organizations; and children engaged in child labor and their families. To the greatest extent possible and practicable, the Grantee must coordinate with existing projects in the target country, particularly those funded by USDOL. The Grantee is expected, when applicable, to coordinate with projects funded by other U.S. Government agencies, such the U.S. Agency for International Development (USAID), the U.S. Department of State's Global Trafficking in Persons (J/TIP) Office, and the U.S. Embassy in the target country(ies).

## **9. Communication with U.S. Embassies**

The Grantee is expected to inform and invite the U.S. Embassy to all major events undertaken as part of the project and maintain communication with Embassy staff. The Grantee must first discuss project implementation problems with OCFT, including the need for Embassy assistance in instances such as customs and VAT exemptions. Depending on the nature of the problem, USDOL will then decide

whether USDOL will communicate directly with the Embassy on the issue or allow the Grantee to inform the Embassy.

## VII. Key Personnel

Individuals who have been designated as key personnel (e.g., Project Director, Education Specialist, Livelihood Specialist and Monitoring and Evaluation Officer), must be available to begin work on the project no later than 45 calendar days after Cooperative Agreement award. All key personnel must allocate the designated level of effort as stated in the Cooperative Agreement or respective SCA. Key personnel may not be combined.

The Grantee must inform the GOR in the event that key personnel cannot continue to work on the project as designated. In such cases, the Grantee is expected to nominate new personnel, through the submission of a formal project revision (see [Project Revisions](#)). The Grantee must obtain prior approval from the Grant Officer before any change to key personnel is formalized. If the Grantee is unable to propose a replacement for a key personnel position that both meets the requirements of the position as outlined in the SCA and is acceptable to the Grant Officer, the Grant Officer reserves the right to terminate the Cooperative Agreement or disallow costs.

## VIII. Payments

When a Cooperative Agreement is signed, the full amount of the project budget will be obligated and transferred to a project account in the Department of Health and Human Services' Payment Management System (HHS-PMS). The Grantee must inform the GOR immediately if there are difficulties with the HHS-PMS.

The Grantee may draw down from the account as needed, but the amount of advances (drawdowns) requested must be based on actual and immediate cash needs in order to minimize federal cash on hand in accordance with policies established in Treasury Department Circular 1075 and 29 CFR 95.22. The timing and amount of advances (drawdowns) must be as close as administratively feasible to actual disbursements by the Grantee for all allowable direct and indirect program costs. See the Cooperative Agreement for more details on Payments.

## IX. Project Revisions and Use of Funds

Grantees may request a Project Revision to modify their Cooperative Agreement when technical or budgetary changes are necessary for the project to meet its objectives. Examples of changes requiring a modification to the Cooperative Agreement include, but are not limited to, a time extension to the Cooperative Agreement period, a change in key personnel, or changes to the budget above the annual threshold (see [Budget Revisions](#)).

The GOR is expected to submit a written response electronically to the Grantee within 15 days after receipt of the revision request. However, the revision is not considered approved until the Grantee has received a Grant Modification signed by the Grant Officer, and no changes to project activities or spending under a revision may be implemented prior to the signed Modification.

Formal revision requests may be submitted to the GOR no later than six months before the end of the Cooperative Agreement period. Only in exceptional cases will USDOL consider a revision request that is submitted less than six months before the end of the Cooperative Agreement period, as stipulated in the Cooperative Agreement. However, very few cases are viewed by USDOL as "exceptional" and, therefore, very few project revisions will be approved under these circumstances.

## **1. Revision Request Process**

To begin the process of requesting a project revision, the Grantee should first discuss the need for a revision with the GOR to ensure that the changes necessitate a modification and that they may be acceptable to USDOL. If a revision is necessary, the Grantee should submit the request to the GOR for review and the GOR will submit the request to the Grant Officer for approval.

Both programmatic and budget revisions must be done using the Project Revision Form (see [Annex IV: Project Revision Form](#)). The form must include a narrative description of the purpose and need for the revision. The justification must include relevant details pertaining to the revision request, such as the status of project objectives, changes to the political or other implementing environment context, description of activities to be implemented and anticipated results given the additional funding or project direction.

The Grantee should include supporting documentation to the revision request, as applicable. Examples of supporting documentation may include the resume of proposed key personnel, a revised work plan, revised logic model, detailed output-based budget, budget narrative, project indicators and revised targets, or other relevant documents.

## **2. Programmatic Revisions**

USDOL prior approval is required for modifications to the project that include changes to strategy, geographical areas, project deliverables, target beneficiaries, indicators at the purpose level, key personnel, or project duration. When a modification to the Cooperative Agreement is necessary, the Grantee must receive a signed modification from the Grant Officer before implementing changes to the project.

## **3. Budget Revisions**

Modifications to the Cooperative Agreement, with Grant Officer prior approval, are required for changes to the overall budget amount and for shifts between certain budget categories (as specified below).

Budget revisions must be explained in the Revision Form and include the current and proposed revised budget in an output-based format, as included with the project proposal. In addition, revisions must include a brief summary sheet outlining the proposed budget line-item changes (see [Annex IV](#)).

The following revisions to the output-based budget require prior Grant Officer approval through a revision request:

- Any revisions exceeding USD 50,000 that would move funds from Training;
- Budget line item revisions that, in the aggregate, exceed 10 percent of the overall budget of the project;
- Or any other changes as listed in 29 CFR 95.

## **4. Use of Allowance for Unforeseen Costs**

Each project budget must include an Allowance for Unforeseen Costs equivalent to five percent of the project's total direct costs to address unforeseen circumstances beyond the Grantee's control that affect specific budget lines. The Grantee must receive prior approval from the Grant Officer to use its Allowance for Unforeseen Costs line item.

The use of Allowance for Unforeseen Costs is intended to address circumstances affecting specific project budget lines that relate to one or more of the following: 1) inflation, 2) UN System or government-mandated salary scale or benefits revisions, and 3) exchange rate fluctuations.

USDOL also recognizes that certain other unforeseen circumstances may arise and result in a need for an exception to the use of Allowance for Unforeseen Costs funds. These include but are not limited to the following: 1) changes in a country's security environment, 2) natural disasters, 3) civil or political

unrest/upheavals or government transitions, or 4) delays related to loss of or damage to project property.

In addition, after calculating the amounts needed for cost increases in the remaining life of the project, forecasted remaining funds in the Allowance for Unforeseen Costs line item may be used, with Grant Officer approval, to augment the number of beneficiaries or to increase the provision of services to existing beneficiaries. Increased services shall be provided if they relate directly to retention and completion of an educational or vocational training program, to an improvement in the academic performance, the job placement of individual beneficiaries of legal employment age who are involved in vocational or skills training, or improvement of family livelihoods. If Grantees seek a time extension to the Cooperative Agreement period, a request for extension must be approved by the Grant Officer in the signed modification.

To request use of the Allowance for Unforeseen Costs, Grantees must submit a Revision Request to the GOR, following the guidance and templates for a Budget Revision. (See [Budget Revisions](#) and [Annex IV: Project Revision Form](#).)

## **X. Third Party Project Evaluations and Audits**

### **1. Single Audits**

U.S.-based non-profit Grantees whose total annual expenditure of Federal awards is more than USD 500,000 must have an organization-wide audit conducted in accordance with 29 CFR 96 and 99, which codify the requirements of the Single Audit Act and OMB Circular A-133, and must comply with the timeframes established in those regulations for the submission of their audits to the Federal Audit Clearinghouse. Grantees must send a copy of each single audit conducted within the timeframe of the USDOL-funded project to the GOR at the time it is submitted to the Federal Audit Clearinghouse.

### **2. Attestation Engagements**

In accordance with 29 CFR Parts 96 and 99, USDOL has contracted with an independent external auditor to conduct project-specific attestation engagements at USDOL's expense to supplement the coverage provided by the annual audits that Grantees are required to arrange, which are referenced in the preceding paragraph. All Grantees, including non-U.S.-based and private for-profit Grantees, are subject to attestation engagements at USDOL's expense during the Cooperative Agreement period and must cooperate with the USDOL contract auditor if selected for examination. The attestation engagements are conducted in accordance with U.S. *Generally Accepted Government Auditing Standards*, and include the auditor's opinions on 1) compliance with USDOL regulations and the provisions of the Cooperative Agreement and 2) the reliability of the Grantee's financial and performance reports. For those Grantees that are subject to the requirements of the Single Audit Act, the attestation engagements will supplement and not duplicate the coverage provided by the Single Audits. Grantees scheduled for examination by the USDOL contract auditor will be notified approximately two to four weeks prior to the start of the engagement.

### **3. Implementation Evaluations**

As part of the overall monitoring and evaluation process, USDOL requires projects to undergo external implementation evaluations, usually one at an interim point in the project and a second no later than three months before the project's end, to assess project implementation and progress in meeting goals and objectives. Sustainability shall also be addressed in all evaluation exercises, in order to assess what corrective measures may be required (such as infrastructure and institutional inputs, as well as adjustments in the project strategy).

The type and timing of evaluation approaches and instruments used will be outlined in the CMEP, and through communications from OCFT. For projects with a CMEP, all evaluations are to take into account the CMEP and data collected through the CMEP process. For projects with a PMP, all evaluations are to take into account the PMP and data collected through the PMP process. Evaluations will be conducted by

an External M&E Expert. Any exceptions to this rule will either be outlined in the SCA or approved on a case-by-case basis by USDOL after consultation with the Grantee. Prior to the start of each evaluation, OCFT will lead the process of developing specific terms of reference (TOR) for the evaluation and provide additional guidance on the evaluation scope and process as required.

As appropriate, evaluations will include a stakeholders' meeting where the evaluator will present the key findings, preliminary conclusions, and recommendations and solicit initial feedback from stakeholders. The evaluator may use this feedback from stakeholders in finalizing a first draft of the evaluation report.

A written draft of the evaluation results/report is to be provided to the Grantee and key stakeholders for input before it is printed in final form.

USDOL will consult with the Grantee regarding plans and timetables for follow-up actions that Grantees plan to take in response to evaluation findings, conclusions, and recommendations. Grantees must report on the progress of these recommendations in each subsequent TPR.

Funds permitting, USDOL intends to cover the costs of implementation evaluations using funding outside of a project's budget. However, because USDOL's funding is never guaranteed from year to year, Grantees are required to include funding for evaluations in their budgets in the amounts specified in the respective SCA. Such project funding is to be used to support the evaluation process. In general, this could include costs other than those for the independent evaluator, such as the cost of a site for the stakeholder meeting, stakeholder travel costs related to this meeting, or the translation and printing of evaluation reports in local languages. Obligation/allocation of funds set aside within project budgets for evaluations must be made by the Grantee in consultation with USDOL. Should USDOL not have additional funding (outside of a project's budget) available to cover the costs of implementation evaluations, USDOL will work with the Grantee to determine the most appropriate and effective way to make use of existing project funds set aside for evaluations to support the overall evaluation process.

## **XI. Project Closeout Procedures**

### **1. Financial Settlement of USDOL Funds**

The Grantee is responsible for the orderly and timely phase out of any projects under the USDOL Cooperative Agreement and for the financial settlement of claims on behalf of subrecipients.

Funds obligated by USDOL to the Grantee remain available for obligation by the Grantee during the period of performance of the Cooperative Agreement.

All valid obligations should be liquidated by the Grantee no later than 90 days after the Cooperative Agreement period of performance ends, unless the Grantee receives written approval from the Grant Officer to extend the period for liquidation of outstanding Grantee obligations.

For projects funded from two separate fiscal year appropriations and managed as one single project, the Grantee must ensure that funds from each fiscal year are obligated during the period of performance, and before their respective Funding Expiration Dates.

Any funds drawn down by the Grantee, but not used to liquidate a valid obligation within the time allowed, must be returned to USDOL at the earliest date practicable.

Final closeout of the Cooperative Agreement will not prevent USDOL from disallowing costs or recovering funds from the Grantee on the basis of a later audit or review, in accordance with the provisions of 29 CFR 95.72(a) (1).

## 2. Government Property Inventory Disposition Request

No later than 120 days before completion of the project, the Grantee must submit the following information to the Grant Officer, consistent with the regulations applicable to “Property Standards” at 29 CFR 95.31-37:

- a Government Property Inventory Disposition Request for all real property, equipment, and intangible property (see [Annex VII: Inventory List Template \(Sample\)](#));
- an inventory list of supplies, if unused supplies exceed USD 5,000 in total aggregate value at the time of closeout.<sup>7</sup>

The Grant Officer will provide instructions regarding the final disposition of property.

## 3. Project Closeout Documents

Approximately 120 days before completion of the project, USDOL will provide the Grantee closeout instructions.

Within 90 days of completion of the project, unless otherwise specified below, the Grantee must provide the Grant Officer and GOR with the following project closeout reports:

- Grantee’s Submittal of Closeout Documents Checklist
- Final TPR. See [Final Technical Report](#);
- A Final Financial Status Report. See [Semi-Annual Financial Status Report](#). This report is not a certified financial statement, but provides USDOL with an overview of allocations and expenditure as well as project balances by budget line;
- A final FFR/SF-425 quarterly report. See [Final Federal Financial Report SF 425](#);
- Closeout Financial Form;
- Recipient’s Release Form; and
- Government Property Closeout Inventory Certification.

Where an audit has been conducted, all audit findings must be closed before a project/ Cooperative Agreement can be closed out. USDOL and the Grantee are each to maintain copies of all closeout documents for three years after the Cooperative Agreement expires.

# XII. Restrictions, Unallowable Activities, and Specific Prohibitions

USDOL/ILAB would like to highlight the following restrictions, unallowable activities, and specific prohibitions, as identified in OMB Circular A-122, as codified at 2 CFR 230, and USDOL policy for all USDOL-funded child labor elimination projects. If the Grantee has questions regarding these or other restrictions, consultation with OCFT is recommended.

## 1. Pre-Award Costs

USDOL funds may not be encumbered or obligated by a Grantee before the period of performance. Pre-

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<sup>7</sup> Key Definitions per 29 CFR 95 include:

**Property** means, unless otherwise stated, real property, equipment, and intangible property and debt instruments.

**Real property** means land, including land improvements, structures and appurtenances thereto, but excludes movable machinery and equipment.

**Equipment** means tangible nonexpendable personal property including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

**Intangible property and debt instruments** means, but is not limited to, trademarks, copyrights, patents and patent applications and such property as loans, notes and other debt instruments, lease agreements, stock and other instruments of property ownership, whether considered tangible or intangible.

award costs, including costs associated with the preparation of an application submitted in response to this SCA, are not reimbursable under the Cooperative Agreement.

## **2. Subgrants and Subcontracts**

Subgrants and subcontracts awarded after the Cooperative Agreement is signed, and not proposed in the Grantee's application, must be awarded through a formal competitive bidding process. Subcontracts must be awarded in accordance with 29 CFR 95.40-48. Subgrants may require prior approval by USDOL in accordance with 29 CFR 95.25(c)8. In particular, any [subawards to host country governments](#) require prior review by the GOR. Subgrants and subcontracts are subject to audit, in accordance with the requirements of 29 CFR 95.26.

The debarment and suspension rule, as outlined in 29 CFR 95.13 and 29 CFR 98, applies to all subawards issued under the Cooperative Agreement. The Grantee is responsible for ensuring that all subrecipients are eligible for participation in Federal assistance programs. The Grantee must check the following Web site to assess available information on parties that are excluded from receiving Federal financial and nonfinancial assistance and benefits, pursuant to the provisions of 31 U.S.C. 6101, note, E.O. 12549, E.O. 12689, 48 CFR 9.404: <http://www.sam.gov/>.

Grantees are responsible for subrecipients' expenditure of funds, financial management, and compliance with USDOL and Federal regulations. This includes ensuring subrecipient compliance with all audit requirements, including those established in OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations.

## **3. Funds to Host Country Governments**

USDOL funds are not intended to duplicate existing foreign government efforts or substitute for activities that are the responsibility of such governments.

Grantees may not provide any of the funds obligated under a Cooperative Agreement to a foreign government or entities that are agencies of, or operated by or for, a foreign state or government, ministries, officials, or political parties to carry out project activities.

Exceptions may be made in cases where: (1) the Grantee has conducted a competitive procurement process to select the awardee and has determined that no other entity in the country is able to provide services or undertake project activities, (2) funding of such activities would not duplicate existing foreign government efforts or substitute for activities that are the responsibility of such governments; and (3) the Grantee has received prior USDOL approval.

This provision must be included in all subawards issued under the Cooperative Agreement.

The Grantee must submit information on the requested subawards to the GOR for approval, see [Annex VI: Government Subaward Matrix](#).

## **4. Direct Cash Transfers to Communities, Parents, or Children**

USDOL does not allow for direct cash transfers to target beneficiaries, including communities, parents, or children. Purchase of incidental items is allowable if necessary for direct beneficiaries' participation in project activities and as a means of promoting sustainable reduction of child labor in the target group. Such beneficiary support costs could include direct costs such as uniforms, tool kits for livelihood interventions, school supplies, books, provision of tuition or transportation. Grantees may propose microfinance interventions (e.g., micro-savings and micro-loans) or linkages to existing microfinance programs.

If approved by USDOL, these items shall be purchased or paid for directly by the Grantee or subrecipients in the form of vouchers, or payment to the service provider, as opposed to transferring cash

directly to project beneficiaries or other individuals. This ensures that the money goes for its intended purpose and is not diverted or lost.

If the Grantee proposes the provision of additional beneficiary support costs other than those that were outlined and approved in its original application, the Grantee must first contact the GOR for approval, and specify: a) why these activities and interventions are necessary, and how they will contribute to the overall project goals; and b) how the disbursement of funds will be administered in order to maximize efficiency and minimize the risk of misuse. The Grantee must also address how beneficiary support costs will be made sustainable once the project is completed.

### **5. Microfinance and Alternative Income-Generating Activities**

USDOL funds awarded under any USDOL-OCFT Cooperative Agreements may be used to provide micro-credits, revolving funds, or loan guarantees, as proposed by the Grantee and approved by USDOL. USDOL reserves the right to negotiate the exact nature, form, or scope of alternative income-generating activities and to approve these activities when proposed by the Grantee. Other permissible costs related to alternative income-generating activities for parents and children may include, but are not limited to, vocational or skills training, incidental tools, guides, manuals, and market feasibility studies.

Whether the Grantee provides microfinance services directly or refers project beneficiaries to such services, the Grantee must take steps to safeguard project beneficiaries (individuals or households) and ensure partnership with only responsible and appropriate microfinance institutions, including the following:

- Ensure that microfinance services intended to support increased household livelihood do not result in the unintended consequence of increasing demand for child labor;
- Carry out an assessment of a given project beneficiary's loan readiness, current financial status (current income and debts), and business plan prior to providing or facilitating access to microcredit/microloan opportunities to reduce the likelihood of project beneficiaries becoming over-indebted;
- Provide project beneficiaries with relevant technical assistance as needed, including basic literacy and numeracy, financial skills/literacy, and business management training, prior to providing or facilitating access to microfinance, which may include the provision of microcredit/microloan, microsavings, or microinsurance opportunities;
- Provide ongoing monitoring of project beneficiaries (including financial status of household and educational and labor status of children in the household) and ensure the continued provision of relevant technical assistance as needed over the life of the microfinance service for project beneficiaries who have been provided with microfinance or referred to organizations providing such opportunities.
- Ensure microfinance partner institutions are able to reach groups targeted by the project and demonstrate a willingness to be appropriately flexible to best support a mission of poverty alleviation;
- Encourage microfinance partner institutions to make information on lending practices publically available, such as by reporting on the Microfinance Information Exchange;
- Encourage microfinance partner institutions to make reasonable efforts to implement client protection principles, such as those outlined in the SmartCampaign.

### **6. Indirect Costs**

According to Federal regulations, indirect costs are those that have been incurred for common or joint objectives and cannot be readily identified with a particular final cost objective. Indirect cost charges should be based on allowable, allocable, and reasonable costs based on the applicable cost principles.<sup>8</sup>

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<sup>8</sup> See OMB Circular A-122, as codified at 2 CFR 230, for non-profit organizations or OMB Circular A-87, as codified at 2 CFR 225, for State and local organizations; and OMB Circular A-21 for Educational Institutions. These cost principles are available at <http://www.whitehouse.gov/omb/circulars/index.html>. Federal Acquisition Regulations, 48 CFR 31, for for-profit organizations are available at: <http://www.arnet.gov/far/>.

Indirect cost support for allocated charges to the grant and the closeout process is validated using a Federally approved Negotiated Indirect Cost Rate Agreement (NICRA). The NICRA is issued by the Federal Cognizant Agency (FCA) based on annual indirect cost proposal submissions from grantees. Typically, the agency providing the preponderance of direct Federal funds to the organization is the FCA.

Those entities with no approved or current indirect cost rates must submit indirect cost proposals within 90 days of the grant award to the FCA.

Indirect cost rate proposals must be submitted to the appropriate Federal Cognizant Agency on an annual basis no later than six (6) months after the close of the organization's fiscal year. These annual submissions must be submitted to FCA for the life of the grant. Grantees must submit the approved indirect cost rate agreements to USDOL as updated.<sup>9</sup>

The proposed/approved NICRA rate, or indirect rate proposed in response to the SCA for those organizations with no rates approved, will be used to set a ceiling for indirect costs in the Cooperative Agreement. Total indirect costs charged to a project may not exceed the indirect cost ceiling as noted in the Grantee's Cooperative Agreement. The ceiling indirect cost rate(s) or the rate(s) negotiated with the Federal cognizant agency, whichever is lower, will be used to determine the maximum allowable indirect costs on the grant.

A ceiling rate or dollar amount does not exclude the organization from the responsibility of submitting an indirect cost rate for approval. Final rates or CAP-allocated amounts will be used for proper adjustments related to the closeout of the Cooperative Agreement.

## **7. Personnel Housing and Personal Living Expenses**

In accordance with federal cost principles, Grantee or subrecipient personnel housing and personal living expenses may not be counted as fringe benefits or indirect costs in the project budget. USDOL funds may only be used to pay for housing costs, housing allowances, and personal living expenses (e.g., dependents' allowance) of project staff if they (1) are separately accounted for as direct costs of the project necessary for the performance of the project and (2) receive prior approval from USDOL.

Grantees must provide a brief explanation as to why such costs are considered necessary for the performance of the project, consistent with the organization's established policies, and reasonable given costs in the country where the staff person will reside.

## **8. Construction**

Construction with funds under the Cooperative Agreement is subject to USDOL approval and ordinarily should not exceed 10 percent of the project budget's direct costs. Funds for construction must be clearly specified in the budget. Any activities that lead to the creation of real property (e.g., a new classroom, an addition to an existing building, wells, or latrines) that is of a permanent nature must be classified under construction expenses. In addition, expenses in support of construction cannot be classified as supplies, and should be regarded as construction activities.

In general, USDOL expects construction to be limited to improving existing infrastructure and facilities of schools and/or other learning environments attended by direct beneficiaries. In order to promote sustainability, USDOL encourages Grantees to secure matching funds, in-kind contributions, or other forms of cost sharing from the government, communities, and local organizations when proposing construction activities. All modifications to the project's budget to address construction related changes must receive prior approval from USDOL. Modifications under the 10 percent budget revision threshold require an informal request to and approval by the GOR. Modifications above the 10 percent threshold require a formal [project revision](#) request to be approved by the Grant Officer.

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<sup>9</sup> For more information, visit <http://www.dol.gov/oasam/boc/dcd/>.

### **9. Value Added Tax (VAT)**

Costs related to VAT must be included in the project budget. If VAT costs are applied by the host government, but are omitted in the project's budget, the Grantee will be responsible for paying them. USDOL-funding cannot be used for VAT costs that were not included in the approved project budget.

### **10. Miscellaneous Prohibitions**

USDOL funds may not be used to provide for:

- The purchase of land;
- The procurement of goods or services for personal use by the Grantee's employees;
- Entertainment, including amusement, diversion, and social activities and any costs directly associated with entertainment (such as tickets, meals, lodging, rentals, transportation, and gratuities). Costs of training or meetings and conferences, when the primary purpose is the dissemination of technical information, may be allowable. This includes reasonable costs of meals and refreshments, transportation, rental of facilities and other items incidental to such meetings and conferences. Costs related to child labor educational activities, such as street plays and theater, may be allowable; and
- Alcoholic beverages.

### **11. Inherently Religious Activities**

The U.S. Government is generally prohibited from providing direct financial assistance for inherently religious activities. The Grantee and subrecipients may work with and make subawards to religious institutions; however, Federal funds provided under a USDOL-awarded Cooperative Agreement may not be used for religious instruction, worship, prayer, proselytizing, other inherently religious activities, or the purchase of religious materials. Neutral, non-religious criteria that neither favor nor disfavor religion will be employed in the selection of Grantees and must be employed by the Grantee in the selection of subrecipients. This provision must be included in all subawards issued under the Cooperative Agreement.

Any inherently religious activities conducted by the Grantee must be clearly separated in time or physical space from activities funded by USDOL. Grantees must segregate from Federal and matching funds (neither of which can be used to fund inherently religious activities), and account for separately, any non-federal and non-matching funds (or allocable portion of those funds) used for inherently religious activities.

Additionally, direct beneficiaries of the project must have a clear understanding that their enrollment in a USDOL-funded project is not conditioned on their participation in any religious activities. Direct beneficiaries must have a clear understanding that a decision to not participate in any inherently religious activity will in no way impact, or result in any negative consequences to their standing, participation in or receipt of benefits from a USDOL-funded project.

If the Grantee is unclear whether a given project activity may involve an inherently religious activity, the Grantee should consult with the GOR prior to implementing the activity.

This provision must be included in all subawards issued with USDOL funds.

### **12. Program Income**

Grantee activities that result in the generation of program income, as defined by 95 CFR 95.2(bb), must conform to CFR Title 29 Part 95, including the following language in 29 CFR 95.24:

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|--|
| <p>(a) Except as provided in paragraph (e) of this section, program income earned during the project period shall be retained by the recipient and added to funds committed to the project by the Grantor and recipient, and used to further eligible project or program objectives.</p> <p>(b) Recipients shall have no obligation to the Federal Government regarding program income earned after the end of the project period.</p> |
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- (c) Costs incident to the generation of program income may be deducted from gross income to determine program income, provided these costs have not been charged to the award.
- (d) Proceeds from the sale of property are not program income and shall be handled in accordance with the requirements of the Property Standards (See §§95.30 through 95.37).
- (e) Unless the Grantor's regulations or the terms and condition of the award provide otherwise, recipients shall have no obligation to the Federal Government with respect to program income earned from license fees and royalties for copyrighted material, patents, patent applications, trademarks, and inventions produced under an award. However, Patent and Trademark Amendments (35 U.S.C. 18) apply to inventions made under an experimental, developmental, or research award.

### **13. Lobbying and Fundraising**

Funds provided by USDOL for project expenditures under the Cooperative Agreement may not be used with the intent to influence a member of the U.S. Congress, a member of any U.S. Congressional staff, or any official of any Federal, State, or Local Government in the United States (hereinafter “government official(s)”), to favor, adopt, or oppose, by vote or otherwise, any U.S. legislation, law, ratification, policy, or appropriation, or to influence in any way the outcome of a political election in the United States, or to contribute to any political party or campaign in the United States, or for activities carried on for the purpose of supporting or knowingly preparing for such efforts. This includes awareness raising and advocacy activities that include fund-raising or lobbying of U.S. Federal, State, or Local Governments (see OMB Circular A-122, as codified at 2 CFR 230). This does not include communications for the purpose of providing information about the Grantee or its subrecipients and their programs or activities in response to a request by any government official or for consideration or action on the merits of a federally-sponsored agreement or relevant regulatory matter by a government official.

A Cooperative Agreement recipient classified under revenue code as a 501(c)(4) entity (see 26 U.S.C. 501(c)(4)), may not engage in lobbying activities. According to the Lobbying Disclosure Act of 1995, as codified at 2 U.S.C. 1611, an organization, as described in Section 501(c)(4) of the Internal Revenue Code of 1986, that engages in lobbying activities directed toward the U.S. Government is not eligible for the receipt of federal funds constituting an award, grant, Cooperative Agreement, or loan.

This provision must be included in all subawards issued under the Cooperative Agreement.

### **14. Fly America Act**

Grantees and their subrecipients must adhere to the International Air Transportation Fair Competitive Practices Act of 1974 (49 U.S.C. 40118) (Fly America Act).<sup>10</sup>

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<sup>10</sup> For full text of the International Air Transportation Fair Competitive Practices Act of 1974 (49 U.S.C. 40118), see <http://www.gpo.gov/fdsys/granule/USCODE-2011-title49/USCODE-2011-title49-subtitleVII-partA-subpartI-chap401-sec40118/content-detail.html>.

## **15. Trafficking in Persons, Commercial Sex Acts, and Forced Labor<sup>11</sup>**

### ***A. The following provisions are applicable to the Grantee, if it is a private entity:***

1. The Grantee, its employees, subrecipients and subrecipients' employees may not a) engage in severe forms of trafficking in persons during the period of time that the award is in effect, b) procure a commercial sex act during the period of time that the award is in effect; or c) use forced labor in the performance of the award or subaward under the award.

2. USDOL may unilaterally terminate this award, without penalty, if the Grantee or a subrecipient that is a private entity a) is determined to have violated a prohibition in paragraph A.1 of this section; or b) has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph A.1 of this section through conduct that is either associated with performance under this award; or imputed to the Grantee or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 29 CFR 98, "Governmentwide Debarment and Suspension (Nonprocurement)."

### ***B. The following provision is applicable to the Grantee if it is other than a private entity:***

1. USDOL may unilaterally terminate the Cooperative Agreement, without penalty, if a subrecipient that is a private entity a) is determined to have violated a prohibition in paragraph A.1 of this section; or b) has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph A.1 of this section through conduct that is either associated with performance under this award; or imputed to the Grantee or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 29 CFR 98, "Governmentwide Debarment and Suspension (Nonprocurement)."

### ***C. The following provisions are applicable to the Grantee regardless of whether it is or is not a private entity:***

1. The Grantee must inform USDOL immediately of any information the Grantee receives from any source alleging a violation of a prohibition in paragraph A.1 of this section.

2. USDOL's right to terminate unilaterally that is described in paragraph A.2 or B.1 of this section i) implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. 7104(g)), and ii) is in addition to all other remedies for noncompliance that are available to USDOL under this Cooperative Agreement.

3. The Grantee must include the requirements of paragraph A.1 of this section in any subaward it makes to a private entity using USDOL funds.

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<sup>11</sup> For purposes of this section:

**"Employee"** means either a) an individual employed by you or a subrecipient who is engaged in the performance of the project or program under this award; or b) another person engaged in the performance of the project or program under this award and not compensated by you including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.

**"Forced labor"** means labor obtained by any of the following methods: the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.

**"Private entity"** a) means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined in 2 CFR 175.25 and b) includes a) a nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 CFR 175.25 (b) a for-profit organization.

**"Severe forms of trafficking in persons," "commercial sex act," and "coercion"** have the meanings given at section 103 of the TVPA, as amended (22 USC 7102).

## **16. Prostitution**

The U.S. Government is opposed to prostitution and related activities which are inherently harmful and dehumanizing and contribute to trafficking in persons. U.S. NGOs, corporations, and their subrecipients cannot use funds provided by USDOL to lobby for, promote, or advocate the legalization or regulation of prostitution as a legitimate form of work. Foreign-based NGOs, corporations, and their subrecipients that receive USDOL funds cannot lobby for, promote, or advocate the legalization or regulation of prostitution as a legitimate form of work while acting as a funded entity on a USDOL-funded project. It is the responsibility of the Grantee to ensure that all subrecipients meet these criteria. This provision must be included in any applicable subaward agreement that is awarded using USDOL funds, and the Grantee must obtain a written declaration to such an effect from the subrecipients concerned.

## **17. Terrorism**

The Grantee is reminded that U.S. law, including Executive Orders, prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the Grantee to ensure compliance with these Executive Orders and laws. It is the policy of USDOL to seek to ensure that none of its funds are used, directly or indirectly, to provide support to individuals or entities associated with terrorism. The Grantee must check the applicable Web site to assess available information on parties that are excluded from receiving federal financial and nonfinancial assistance and benefits. See <http://www.treas.gov/offices/enforcement/ofac/sdn/t11sdn.pdf>.

This provision must be included in all subawards issued under the Cooperative Agreement.

## **XIII. Suspension and Termination Procedures**

If the Grantee fails to comply with the terms, conditions or standards of a Cooperative Agreement, USDOL may, on reasonable notice to the Grantee, suspend the Cooperative Agreement or a specific project or projects under the Cooperative Agreement, and withhold further payments, or prohibit the Grantee from incurring additional obligations of Cooperative Agreement funds, pending corrective action by the Grantee or a decision to terminate in accordance with section 1 or section 2 described below. The USDOL Grant Officer will allow all necessary and proper costs that the Grantee could not reasonably avoid during the period of suspension provided that they meet the provisions outlined in the Cooperative Agreement.

A Cooperative Agreement may be terminated in accordance with 29 CFR 95.60-62 and the guidelines below.

### **1. Termination by the Grant Officer**

The Grant Officer may terminate a grant in whole, or in part, or a specific project or projects under a Cooperative Agreement, at any time before the date of completion, whenever it is determined that the Grantee has failed to comply with the terms and conditions of the award (including project revisions requiring such approval), whether stated in a federal statute or regulation, an assurance, an application, a notice of award, or elsewhere. The Grant Officer is expected to promptly notify the Grantee in writing of the determination, the reasons for the termination, and the effective date of termination. Payments made to the Grantee or recoveries by USDOL must be in accord with the legal rights and liabilities of the parties.

### **2. Termination by the Grant Officer with Consent of the Grantee**

The Grant Officer, with the consent of the Grantee, may terminate a grant in whole, or in part, or a specific project or projects under a Cooperative Agreement, at any time before the date of completion. In this case, the two parties shall agree upon the termination conditions, including the effective date, and in the case of partial termination, the portion to be terminated. The Grantee must not incur new obligations for the terminated portion after the effective date and must cancel as many outstanding obligations as possible. The Grant Officer is expected to allow full credit to the Grantee for the federal share of the

obligations that cannot be cancelled properly but are incurred by the Grantee prior to termination. Payments made to the Grantee or recoveries by USDOL must be in accord with the legal rights and liabilities of the parties.

### **3. Termination by the Grantee**

The Grantee may terminate the agreement upon sending written notification to USDOL, setting forth the reasons for such termination, the effective date, and in the case of partial termination, the portion to be terminated. However, in the case of a partial termination, if USDOL determines that the remaining portion of the award would not accomplish the purposes for which the award was made; USDOL may terminate the award in its entirety.

#### **Definitions**

**Suspension:** Depending on the contract, suspension means either, 1) an action by the Grant Officer that temporarily suspends federal assistance under the Cooperative Agreement, pending corrective action by the Grantee or pending a decision to terminate the Cooperative Agreement by the Grant Officer; or 2) an action taken by a suspension official implementing Executive Order 12549 to immediately exclude a person from participating in Cooperative Agreement transactions for a period, pending completion of an investigation and such legal or debarment proceedings as may ensue.

**Termination:** Termination means the permanent withdrawal of the authority to obligate previously awarded Cooperative Agreement funds before that authority would otherwise expire. It also means the voluntary relinquishment of that authority by the Grantee or its subrecipient.

## Annex I: Technical Progress Report

Template recommended for use.

### TECHNICAL PROGRESS REPORT

Report Date: \_\_\_\_\_  
Month and Year

#### Technical Progress Report Cover Sheet

1. Federal Agency and Organization Element to Which Report is Submitted <b>USDOL/ILAB/OCFT</b>	2. Federal Grant Number	3. DUNS Number
4. Country and Project Name		
5. Recipient Organization Contact Information <i>Headquarters</i>	<i>Field</i>	
6. Project/Grant Period Start Date: (Month Day, Year)  End Date: (Month Day, Year)	7. Reporting Period End Date (Month Day, Year)	8. Final Report? <input type="checkbox"/> Yes <input type="checkbox"/> No
		9. Report Frequency <input type="checkbox"/> semi-annual <input type="checkbox"/> other
10. Attachments (Please mark the checkboxes below to indicate the annexes attached.) <input type="checkbox"/> Technical Progress Report <input type="checkbox"/> Annex A: USDOL Common Indicator Spreadsheet (attach the Excel file provided separately) <input type="checkbox"/> Annex B: Country Capacity Targets (submitted with each October TPR for the following fiscal year) <input type="checkbox"/> Annex C: Status of Project Performance Against Indicators <input type="checkbox"/> Annex D: Response to Donor Comments from Last Technical Progress Report <input type="checkbox"/> Annex E: Update on Project Activities in Response to Evaluation and Audit Recommendations <input type="checkbox"/> Annex F: Updated Project Work Plan <input type="checkbox"/> Annex G: Status of VAT Exemption <input type="checkbox"/> Annex H: Other Documents <input type="checkbox"/> Annex I: Acronym List		
<b>12. Certification:</b> <b>I certify to the best of my knowledge and belief that this report is correct and complete for performance of activities for the purposes set forth in the award documents.</b>		
12a. Printed Name and Title of Authorized Certifying Official	12c. Telephone	12d. Email Address
12b. Signature of Authorized Certifying Official	12e. Date Report Submitted (Month Day, Year)	

## I. COUNTRY INFORMATION AND DEVELOPMENTS

Summarize the country context and events **during the reporting period** that are relevant to issues of child labor, education, and livelihoods. This section should also include relevant information on new or proposed changes to national legislation, policies, or plans of action. If relevant, please include links to relevant laws and policies or submit as attachments.

## II. PROGRESS OF THE PROJECT

### II.A Project Status and Overview

Provide the project's overall status, including whether it is on schedule, and explain any major delays or challenges. Briefly summarize significant efforts undertaken during the reporting period in 3-5 sentences.

### II.B Assessment of Progress towards Strategic Goals, Objectives, and Indicators

In each of the categories below, describe the project activities in comparison with the established work plan for the reporting period. Include descriptions of the implementation process, changes to the planned strategy or approach, progress made, activities implemented, results accomplished, and explanations for delays or problems encountered.

**1. Direct Beneficiary Service Provision:** Direct beneficiaries are to be tracked in **Annex A – USDOL Common Indicator Spreadsheet**. This spreadsheet must be filled out and submitted electronically as a separate document with each TPR. Individual fiscal year targets must be submitted for the full project implementation period in each **October** TPR.<sup>12</sup> Instructions for how this spreadsheet is to be used, along with relevant definitions can be found in *Companion to the USDOL Common Indicators Spreadsheet*.

#### a. Provision of Educational Opportunities to Children

#### b. Provision of Livelihood Interventions to Households

**2. Strengthening Legislation and Policies, Building Capacity of National Institutions:** Note that the table below will be considered as the project's contribution to the USDOL Common Indicator for Country Capacity. Please refer to the *Companion to the USDOL Common Indicator Spreadsheet* for instructions. In the left column, please describe relevant project activities implemented during the reporting period toward achieving the overall capacity objective even if the final outcome is not yet realized. In the right column, list only the resulting final capacity outcomes achieved, per the *Companion* definitions.

<sup>12</sup> The E1 and L1 annual fiscal year targets must be updated once a year in the October technical progress report to reflect implementation realities; however **current and prior fiscal year targets cannot be modified**. Annual targets are not required for E1.1, E2, E3, E4, and for L2, L3, L4, and L5. The total life of project targets should reflect the targets stated in the Project Proposal unless these targets have been formally revised and approved by the USDOL Grant Officer. If the life of project targets have been formally revised, please include the revised number in the indicator reporting sheet and include information that the target has been formally revised in the 'Notes' section.

<b>USDOL COMMON INDICATOR: COUNTRY CAPACITY TO ADDRESS CHILD LABOR OR FORCED LABOR (C1)</b>	
<b>1. The adaptation of the legal framework to meet international labor standards</b>	
Project Efforts:	Final Outcomes Achieved:
<b>2. Formulation and adoption of specific policies, plans or programs to combat child labor or forced labor</b>	
Project Efforts:	Final Outcomes Achieved:
<b>3. The inclusion of child labor or forced labor concerns in relevant development, education, anti-poverty, and other social policies and programs</b>	
Project Efforts:	Final Outcomes Achieved:
<b>4. Establishment of a child labor monitoring system (CLMS)</b>	
Project Efforts:	Final Outcomes Achieved:
<b>5. Institutionalization of child labor and forced labor research (including evaluation and data collection)</b>	
Project Efforts:	Final Outcomes Achieved:
<b>6. Institutionalization of training on child labor or forced labor issues within government agencies</b>	
Project Efforts:	Final Outcomes Achieved:

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**1. Raising Awareness**

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**2. Research**

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**3. Sustainability:** Describe the key activities which the project hopes to make sustainable and steps which have been taken to facilitate sustainability.

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**1. Monitoring and Evaluation:** Please provide an update on the project's monitoring efforts. For projects with impact evaluation components, please report on any major activities or issues.

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**2. Other:** Describe any other project activities or accomplishments not addressed above.

**III. ISSUES AFFECTING THE ACHIEVEMENT OF PROJECT OBJECTIVES**

Describe problems or issues which have been encountered, are currently emerging, or are anticipated over the next 6 months. Items listed may include technical, administrative, or financial issues, as well as concerns with stakeholders or partner agencies or external factors affecting the project.

Problem or Issue	Proposed Solution/Actions Taken
1.	1.
2.	2.
3.	3.
4.	4.

**IV. LESSONS LEARNED**

Describe lessons learned, from both positive and negative experiences, which may include (but are not limited to) methods of implementation of program objectives, project management, communication, partnerships, engagement of stakeholders, or partner capacity building.

**V. EMERGING GOOD PRACTICES**

Describe in detail any emerging good practices in your program.

**VI. LIST OF ACTIVE SUBGRANTS AND SUBCONTRACTS**

Please list current subawards to corporations, individuals, nonprofits, and government agencies. *Note that all subcontracts to government entities must receive a separate prior approval from USDOL.*

Recipient/ Contractor	Activity Description	Dollar Amount	Start Date	Anticipated Completion Date	Date(s) of all Oversight and Field Visits

**VII. ANTICIPATED ACTIVITIES DURING THE NEXT REPORTING PERIOD**

List each of the project-specific objectives and provide a description of the planned activities and accomplishments per the updated work plan for the upcoming reporting period. Include descriptions of the implementation process, changes to the planned strategy, and explanations for any changes.

**1. Direct Beneficiary Service Provision**

**a. Provision of Educational Opportunities to Children**

**b. Provision of Livelihood Interventions to Households**

**2. Strengthening Legislation and Policies, Building Capacity of National Institutions**

**a. The adaptation of the legal framework to meet international labor standards**

**b. Formulation and adoption of specific policies, plans or programs to combat child labor or forced labor**

**c. The inclusion of child labor or forced labor concerns in relevant development, education, anti-poverty, and other social policies and programs**

**d. Establishment of a child labor monitoring system (CLMS)**

**e. Institutionalization of child labor and forced labor research (including evaluation and data collection)**

**f. Institutionalization of training on child labor or forced labor issues within government agencies**

**3. Raising Awareness**

**4. Research**

**5. Sustainability**

**6. Monitoring and Evaluation**

**7. Other**

## VIII. PROJECT HIGHLIGHT

Highlight one achievement, revelation, or experience of the project during the reporting period. To facilitate information sharing, these highlights will be included in an email to all OCFT Grantees. Examples of highlights could include: engaging in a new partnership; success of a new and innovative training; or a case study of a beneficiary.

## IX. LIST OF REQUIRED ANNEXES TO SUBMIT WITH REPORT

Attach the following documents to every technical progress report.

- Annex A: USDOL Common Indicators Spreadsheet** (Excel)  
See the *Companion to the USDOL Common Indicator Spreadsheet* for definitions and instructions. (Submit results with every TPR, and update current and future fiscal year targets in each **October** TPR only.)<sup>13</sup>
- Annex B: Current and Long-Term Targets for Improving Country Capacity to Address Child Labor or Forced Labor** (Submit with each **October** TPR)  
See the *Companion to the USDOL Common Indicator Spreadsheet* for definitions and examples for Country Capacity.
- Annex C: Status of Project Performance Against Indicators**  
Report using the project-specific tracking tool developed within the comprehensive monitoring and evaluation plan of the project.
- Annex D: Response to Donor Comments from Last Technical Progress Report**  
Also include any responses already submitted to USDOL.
- Annex E: Update on Project Activities in Response to Evaluation and Audit Recommendations**
- Annex F: Updated Project Work Plan**
- Annex G: Status of VAT Exemption (Required until VAT Exemption is received)**  
Use the provided format below to report on the project's status of obtaining VAT exemption.
- Annex H: Other Documents**  
Include documents requested by USDOL, or external reports, project research, draft legislation, press clippings, awareness-raising materials,

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<sup>13</sup> The E1 and L1 annual fiscal year targets must be updated once a year in the October technical progress report to reflect implementation realities; however **current and prior fiscal year targets cannot be modified**. Annual targets are not required for E1.1, E2, E3, E4, and for L2, L3, L4, and L5. The total life of project targets should reflect the targets stated in the Project Proposal unless these targets have been formally revised and approved by the USDOL Grant Officer. If the life of project targets have been formally revised, please include the revised number in the indicator reporting sheet and include information that the target has been formally revised in the 'Notes' section.

project photographs, etc.

**Annex I: Acronym List**

If all acronyms are not defined in the body of the document, include a reference list of acronyms and abbreviations used in this report and annex

**TPR Annex B: Current and Long-Term Targets for Improving Country Capacity to Address Child Labor or Forced Labor  
(see Table in TPR Section II. B.)**

The table below should be updated once a year in the October progress reports. Please provide a brief statement under the corresponding criteria. An example of the “formulation of specific policies and programs at the national, regional, or sectoral level within a country...” might include “elaboration and adoption of national plan for child protection including the worst forms of child labor.” If regional project, include separate country specific targets.

*Please see the Companion to the USDOL Common Indicator Spreadsheet for definitions and examples.*

<b>Fiscal Year Targets</b>	Adaptation of the legal framework to the international standards	Formulation and adoption of specific policies, plans or programs to combat child labor or forced labor	The inclusion of child labor or forced labor concerns in relevant development, education, anti-poverty, and other social policies and programs	Establishment of a child labor monitoring system (CLMS)	Institutionalization of child labor and forced labor research (including evaluation and data collection)	Institutionalization of training on child labor or forced labor issues within government agencies
<b>FY2014</b>						
<b>FY2015</b>						
<b>FY2016</b>						
<b>FY2017</b>						
<b>FY2018</b>						
<b>FY2019</b>						

**TPR Annex E: Update on Project Activities in Response to Evaluation and Audit Recommendations**

This table provides suggestions for follow-up and status of recommendations made during an evaluation or audit. It contains only recommendations relevant to this project. It should not contain recommendations addressed to other stakeholders. Follow-up outlines the way that the Grantee is addressing the recommendation.

No.	Review/ Evaluation (including date)	Recommendation	Recommendation addressed to	<b>Follow-up Action(s) taken or to be taken by project based on Recommendations</b> (Status of follow-up actions already taken; including by whom, when and how; follow-up actions that project plans to undertake, including by whom, when and how; if no follow-up is proposed or has been taken, project should provide a clear explanation of why this is, with a focus on demonstrating that the recommendations has been considered)
	Implementation Evaluation Month, 20xx			
	Implementation Evaluation Month, 20xx			
	Implementation Evaluation Month, 20xx			
	Audit Month, 20xx			



## Annex II: Common Indicator Tracking Form (sample)

An Excel file will be provided separately, the images below serve as an example only.

<b>Education Indicator E1</b>					
<b>E1: Number of children engaged in or at high-risk of entering child labor provided education or vocational services</b>					
Reporting period		Target	Children provided with services		
		Total # of Children	Girls	Boys	Total Children
PERIOD 1 1 Oct. 2011 - 31 Mar. 2012	CL: Children Engaged in Child Labor				0
	CAHR: Children at High-Risk of Entering Child Labor				0
	<b>TOTAL Period 1</b>	0	0	0	0
PERIOD 2 1 Apr. 2012 - 30 Sept. 2012	CL				0
	CAHR				0
	<b>TOTAL Period 2</b>	0	0	0	0
<b>Fiscal Year 2012</b>	<b>TOTAL Period 1 + Period 2</b>	0	0	0	0
PERIOD 3 1 Oct. 2012 - 31 Mar. 2013	CL				0
	CAHR				0
	<b>TOTAL Period 3</b>	0	0	0	0
PERIOD 4 1 Apr. 2013 - 30 Sept. 2013	CL				0
	CAHR				0
	<b>TOTAL Period 4</b>	0	0	0	0
<b>Fiscal Year 2013</b>	<b>TOTAL Period 3 + Period 4</b>	0	0	0	0
PERIOD 5 1 Oct. 2013 - 31 Mar. 2014	CL				0
	CAHR				0
	<b>TOTAL Period 5</b>	0	0	0	0
PERIOD 6 1 Apr. 2014 - 30 Sept. 2014	CL				0
	CAHR				0
	<b>TOTAL Period 6</b>	0	0	0	0
<b>Fiscal Year 2014</b>	<b>TOTAL Period 5 + Period 6</b>	0	0	0	0
PERIOD 7 1 Oct. 2014 - 31 Mar. 2015	CL				0
	CAHR				0
	<b>TOTAL Period 7</b>	0	0	0	0
PERIOD 8 1 Apr. 2015 - 30 Sept. 2015	CL				0
	CAHR				0
	<b>TOTAL Period 8</b>	0	0	0	0
<b>Fiscal Year 2015</b>	<b>TOTAL Period 7 + Period 8</b>	0	0	0	0
PERIOD 9 1 Oct. 2015 - 31 Mar. 2016	CL				0
	CAHR				0
	<b>TOTAL Period 9</b>	0	0	0	0
PERIOD 10 1 Apr. 2016 - 30 Sept. 2016	CL				0
	CAHR				0
	<b>TOTAL Period 10</b>	0	0	0	0
<b>Fiscal Year 2016</b>	<b>TOTAL Period 9 + Period 10</b>	0	0	0	0
		<i>Insert total life of project target from project proposal below.</i>			
<b>TOTAL PROJECT</b> Oct. 1 2011 - 30 Sept. 2016	CL		0	0	0
	CAHR		0	0	0
	<b>TOTAL</b>	0	0	0	0
Notes:					

Please refer to the **Companion to the USDOL Common Indicators Spreadsheet** for instructions and definitions.

U.S. Department of Labor, Bureau of International Labor Affairs  
Office of Child Labor, Forced Labor and Human Trafficking

<b>Education Indicator E1.1 CSEC &amp; Trafficked Children</b>				
<b>E1.1: Number of children trafficked or in commercial sexual exploitation, or at high-risk of being trafficked or entering commercial sexual exploitation, provided education or vocational services</b>				
Reporting period		Girls	Boys	Total Children
PERIOD 1 1 Oct. 2011 - 31 Mar. 2012	CAHR Trafficked: Children at High-Risk of being Trafficked.			0
	Trafficked: Children who have been trafficked (not including those in CSEC).			0
	CAHR CSEC: Children at High-Risk of Entering Commercial Sexual Exploitation.			0
	CSEC: Children in Commercial Sexual Exploitation (and not counted as trafficked).			0
	<b>TOTAL Period 1</b>	0	0	0
PERIOD 2 1 Apr. 2012 - 30 Sept. 2012	CAHR Trafficked			0
	Trafficked			0
	CAHR CSEC			0
	CSEC			0
	<b>TOTAL Period 2</b>	0	0	0
Fiscal Year 2012	<b>TOTAL Period 1 + Period 2</b>	0	0	0
PERIOD 3 1 Oct. 2012 - 31 Mar. 2013	CAHR Trafficked			0
	Trafficked			0
	CAHR CSEC			0
	CSEC			0
	<b>TOTAL Period 3</b>	0	0	0
PERIOD 4 1 Apr. 2013 - 30 Sept. 2013	CAHR Trafficked			0
	CAHR			0
	CAHR CSEC			0
	CSEC			0
	<b>TOTAL Period 4</b>	0	0	0
Fiscal Year 2013	<b>TOTAL Period 3 + Period 4</b>	0	0	0
PERIOD 5 1 Oct. 2013 - 31 Mar. 2014	CAHR Trafficked			0
	Trafficked			0
	CAHR CSEC			0
	CSEC			0
	<b>TOTAL Period 5</b>	0	0	0
PERIOD 6 1 Apr. 2014 - 30 Sept. 2014	CAHR Trafficked			0
	Trafficked			0
	CAHR CSEC			0
	CSEC			0
	<b>TOTAL Period 6</b>	0	0	0
Fiscal Year 2014	<b>TOTAL Period 5 + Period 6</b>	0	0	0
PERIOD 7 1 Oct. 2014 - 31 Mar. 2015	CAHR Trafficked			0
	Trafficked			0
	CAHR CSEC			0
	CSEC			0
	<b>TOTAL Period 7</b>	0	0	0
PERIOD 8 1 Apr. 2015 - 30 Sept. 2015	CAHR Trafficked			0
	Trafficked			0
	CAHR CSEC			0
	CSEC			0
	<b>TOTAL Period 8</b>	0	0	0
Fiscal Year 2015	<b>TOTAL Period 7 + Period 8</b>	0	0	0
PERIOD 9 1 Oct. 2015 - 31 Mar. 2016	CAHR Trafficked			0
	Trafficked			0
	CAHR CSEC			0
	CSEC			0
	<b>TOTAL Period 9</b>	0	0	0
PERIOD 10 1 Apr. 2016 - 30 Sept. 2016	CAHR Trafficked			0
	Trafficked			0
	CAHR CSEC			0
	CSEC			0
	<b>TOTAL Period 10</b>	0	0	0
Fiscal Year 2016	<b>TOTAL Period 9 + Period 10</b>	0	0	0
<b>TOTAL PROJECT</b> Oct. 1 2011 - 30 Sept. 2016	CAHR Trafficked	0	0	0
	Trafficked	0	0	0
	CAHR CSEC	0	0	0
	CSEC	0	0	0
	<b>TOTAL</b>	0	0	0

Notes:

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## Education Indicators E2, E3, & E4

**E2: Number of children engaged in or at high-risk of entering child labor enrolled in formal education services**  
**E3: Number of children engaged in or at high-risk of entering child labor enrolled in non-formal education services**  
**E4: Number of children engaged in or at high-risk of entering child labor enrolled in vocational services**

Reporting period	Number of children enrolled in formal education services		Number of children enrolled in non-formal education services		Number of children enrolled in vocational services	
	Girls	Boys	Girls	Boys	Girls	Boys
PERIOD 1 1 Oct. 2011 - 31 Mar. 2012						
<b>Completed*</b>						
PERIOD 2 1 Apr. 2012 - 30 Sept. 2012						
<b>Completed</b>						
PERIOD 3 1 Oct. 2012 - 31 Mar. 2013						
<b>Completed</b>						
PERIOD 4 1 Apr. 2013 - 30 Sept. 2013						
<b>Completed</b>						
PERIOD 5 1 Oct. 2013 - 31 Mar. 2014						
<b>Completed</b>						
PERIOD 6 1 Apr. 2014 - 30 Sept. 2014						
<b>Completed</b>						
PERIOD 7 1 Oct. 2014 - 31 Mar. 2015						
<b>Completed</b>						
PERIOD 8 1 Apr. 2015 - 30 Sept. 2015						
<b>Completed</b>						
PERIOD 9 1 Oct. 2015 - 31 Mar. 2016						
<b>Completed</b>						
PERIOD 10 1 Apr. 2016 - 30 Sept. 2016						
<b>Completed</b>						
	<b>Girls</b>	<b>Boys</b>	<b>Girls</b>	<b>Boys</b>	<b>Girls</b>	<b>Boys</b>
<b>TOTAL PROJECT ENROLLED</b> Oct. 1 2011 - 30 Sept. 2016	0	0	0	0	0	0
<b>TOTAL PROJECT COMPLETED</b> Oct. 1 2011 - 30 Sept. 2016	0	0	0	0	0	0

\* Completion numbers reported in a given period may not necessarily correlate to the numbers reported as enrolled during a given period.

Notes:

<b>Livelihood Indicator L1</b>		
<b>L1: Number of households receiving livelihood services</b>		
<b>Reporting period</b>	<b>Target Number of Households Receiving Services</b>	<b>Actual Number of Households Receiving Services</b>
PERIOD 1 1 Oct. 2011 - 31 Mar. 2012		
PERIOD 2 1 Apr. 2012 - 30 Sept. 2012		
<b>Total Fiscal Year 2012</b>	<b>0</b>	<b>0</b>
PERIOD 3 1 Oct. 2012 - 31 Mar. 2013		
PERIOD 4 1 Apr. 2013 - 30 Sept. 2013		
<b>Total Fiscal Year 2013</b>	<b>0</b>	<b>0</b>
PERIOD 5 1 Oct. 2013 - 31 Mar. 2014		
PERIOD 6 1 Apr. 2014 - 30 Sept. 2014		
<b>Total Fiscal Year 2014</b>	<b>0</b>	<b>0</b>
PERIOD 7 1 Oct. 2014 - 31 Mar. 2015		
PERIOD 8 1 Apr. 2015 - 30 Sept. 2015		
<b>Total Fiscal Year 2015</b>	<b>0</b>	<b>0</b>
PERIOD 9 1 Oct. 2015 - 31 Mar. 2016		
PERIOD 10 1 Apr. 2016 - 30 Sept. 2016		
<b>Total Fiscal Year 2016</b>	<b>0</b>	<b>0</b>
	<i>Insert total life of project target from project proposal below.</i>	
<b>TOTAL PROJECT</b> Oct. 1 2011 - 30 Sept. 2016		<b>0</b>
Notes:		

## Livelihood Indicators L2 and L3 and L4 and L5

**L2: Number of adults provided with employment services**

**L3: Number of children provided with employment services**

**L4: Number of individuals provided with economic strengthening services**

**L5: Number of individuals provided with services other than empl**

Reporting period	Number of adults provided with employment services		Number of children provided with employment services		Number of individuals provided with economic strengthening services		Number of individuals provided with services other than employment and economic strengthening	
	Female	Male	Girls	Boys	Female	Male	Female	Male
PERIOD 1 1 Oct. 2011 - 31 Mar. 2012								
PERIOD 2 1 Apr. 2012 - 30 Sept. 2012								
<b>TOTAL Fiscal Year 2012</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
PERIOD 3 1 Oct. 2012 - 31 Mar. 2013								
PERIOD 4 1 Apr. 2013 - 30 Sept. 2013								
<b>TOTAL Fiscal Year 2013</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
PERIOD 5 1 Oct. 2013 - 31 Mar. 2014								
PERIOD 6 1 Apr. 2014 - 30 Sept. 2014								
<b>TOTAL Fiscal Year 2014</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
PERIOD 7 1 Oct. 2014 - 31 Mar. 2015								
PERIOD 8 1 Apr. 2015 - 30 Sept. 2015								
<b>TOTAL Fiscal Year 2015</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
PERIOD 9 1 Oct. 2015 - 31 Mar. 2016								
PERIOD 10 1 Apr. 2016 - 30 Sept. 2016								
<b>TOTAL Fiscal Year 2016</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
	Female	Male	Girls	Boys	Female	Male	Female	Male
<b>TOTAL PROJECT</b> Oct. 1 2011 - 30 Sept. 2016	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

Notes:

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## Annex III: Companion to the USDOL Common Indicators

- 1) [Introduction to the USDOL Common Indicators](#)
- 2) [Instructions and Definitions to Complete the Common Indicator Spreadsheet](#)
  - a) [Education Indicator E1.](#)
  - b) [Education Indicator E1.1](#)
  - c) [Education Indicators E2, E3, E4](#)
    - i) [Education Definitions \(E1, E2, E3, E4\)](#)
  - d) [Livelihood Indicator L1.](#)
  - e) [Livelihood Indicators L2, L3, L4, L5.](#)
    - i) [Livelihoods Definitions \(L1, L2, L3, L4, L5\)](#)
    - ii) [Livelihood Indicator L2.](#)
    - iii) [Livelihood Indicator L3.](#)
    - iv) [Livelihood Indicator L4.](#)
    - v) [Livelihood Indicator L.5.](#)
  - f) [Country Capacity Indicator C1.](#)
    - i) [Increased Country Capacity Definitions \(C1\):](#)

#### 4. Introduction to the USDOL Common Indicators

In an effort to collect comparable information related to the outputs and outcomes of its child labor projects, OCFT has developed a series of common indicators. The OCFT common indicators are:

- the number of children engaged in or at high-risk of entering child labor provided education or vocational services (Education Indicator 1, E1),
- the number of households receiving livelihood services (Livelihood Indicator 1, L1), and
- the number of countries with increased capacity to address child labor or forced labor (Country Capacity Indicator 1, C1).

The common indicators are global, in that they are measured by all OCFT-funded projects from FY2010 onward, as applicable.<sup>14</sup> Taken together, the indicators broadly measure the contribution and outcomes of OCFT projects as part of international efforts to combat child labor through education, improved livelihoods, and increased country capacity. Supplemental to these three common indicators, where applicable, projects will report on required sub-indicators designed to capture more specific information about various aspects of a project's work in each of the three areas of education, livelihoods, and capacity building .

Each project will report data on the three common indicators in their Technical Progress Reports (TPR). The project will provide information on the increased capacity of countries directly into **Section II.B of their TPR**. The education and livelihood indicators will be reported in the USDOL Common Indicator Spreadsheet in **Annex A**. Each submission of Annex A should include data from all prior reporting periods, in addition to the current reporting period data.

In addition to reporting on the above common indicators, each project will also be responsible for reporting on all project-specific indicators contained in their Performance Monitoring Plans (PMPs),

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<sup>14</sup> For example, a project offering no direct services would not report on either E1 or L1.

including on the work status of beneficiary children. Results for these indicators must be reported in TPR Annex C (Data Reporting Form).

*Education Indicators (definitions of key terms are included in the “[Education Definitions](#)” section)*

The USDOL education common indicator requires the project to track and record the number of *children* engaged in or at high-risk of entering child labor provided education or vocational services ([E1](#)). In addition, projects will also be required to track three sub-indicators for the relevant specific service being provided by the project: ([E2](#)) the number children provided formal education services; ([E3](#)) the number of children provided non-formal education services; and ([E4](#)) the number of children provided vocational services.

For projects that target children who have been trafficked, that engage in commercial sexual exploitation, or are considered vulnerable to commercial sexual exploitation or trafficking, these children are to be reported on in both:

- [E1](#): “Number of children engaged in or at high-risk of entering child labor provided with educational or vocational services” reporting sheet; and
- [E1.1](#): “Number of children trafficked or in commercial sexual exploitation, or at high-risk of being trafficked or entering commercial sexual exploitation, provided with educational or vocational services” reporting sheet.

The children reported in E1.1 are a subset of the children reported in E1.

For E1.1, USDOL does not require separate reporting on these children broken down by formal education, non-formal education, and vocational services. Such a breakdown is only required for E1 total as described above (E2, E3, E4).

*Livelihood Indicators (definitions of key terms are included in the “[livelihoods definitions](#)” section below)*

Livelihood service provision will be tracked by recording the number of *households* receiving livelihood services ([L1](#)). In addition, projects will track three sub-indicators for the relevant specific service being provided by the project: ([L2](#)) the number of adults provided with employment services, ([L3](#)) the number of children of legal working age provided with employment services, ([L4](#)) the number of individuals provided with economic strengthening services; and ([L5](#)) the number of individuals provided with livelihood services other than employment and economic strengthening.

*Capacity Building Indicators*

Projects will also report on their efforts to increase a country’s capacity to address child labor or forced labor at the local, regional, national, or sectoral level ([C1](#)). For the purposes of reporting on this indicator, such efforts include: (1) adaptation of legal framework to meet international labor standards; (2) formulation of policies, plans, or programs to combat child labor or forced labor; (3) inclusion of child labor or forced labor in relevant development, social, and anti-poverty policies and programs ; (4) establishment of a child labor monitoring system; (5) institutionalization of child labor and forced labor research (including evaluation and data collection); and (6) institutionalization of child labor or forced labor training within government agencies.

## **Instructions and Definitions to Complete the Common Indicator Spreadsheet**

**Education Indicator E1**

**Number of children engaged in or at high-risk of entering child labor provided education or vocational services.**

<b>Education Indicator E1</b>					
<b>E1: Number of children engaged in or at high-risk of entering child labor provided education or vocational services</b>					
Reporting period		Target	Children provided with services		
		Total # of Children	Girls	Boys	Total Children
PERIOD 1 1 Oct. 2011 - 31 Mar. 2012	CL: Children Engaged in Child Labor				0
	CAHR: Children at High-Risk of Entering Child Labor				0
	<b>TOTAL Period 1</b>	0	0	0	0
PERIOD 2 1 Apr. 2012 - 30 Sept. 2012	CL				0
	CAHR				0
	<b>TOTAL Period 2</b>	0	0	0	0
Fiscal Year 2012	<b>TOTAL Period 1 + Period 2</b>	0	0	0	0

*(This number should include trafficked or CSEC children, where applicable.)*

This table collects data on the number of children provided educational or vocational services. The measurement of E1 is at the child level and aims to count the total number of children who have been provided an educational or vocational service. For the purposes of this indicator, the term “provided” refers to the point at which a child begins receiving his/her **first** educational or vocational service as a result of the project’s direct support. A child is to be counted as **provided** with an educational service at the point in time that he/she **begins** their specific educational service. A child may only be counted **once** under this indicator during the life of the project. In addition, any service counted as “provided” under this indicator must be linked to a needs assessment that identified the lack of these goods and/or services as a barrier to accessing education for child laborers and at-risk children.

\* For definitions of key terms please refer to [education indicator definitions](#).

**Education Indicator E1.1**

**Number of children trafficked or in commercial sexual exploitation, or at high-risk of being trafficked or entering commercial sexual exploitation, provided education or vocational services**

<b>Education Indicator E1.1 CSEC &amp; Trafficked Children</b>				
<b>E1.1: Number of children trafficked or in commercial sexual exploitation, or at high-risk of being trafficked or entering commercial sexual exploitation, provided education or vocational services</b>				
Reporting period		Girls	Boys	Total Children
PERIOD 1 1 Oct. 2011 - 31 Mar. 2012	CAHR Trafficked: Children at High-Risk of being Trafficked.			0
	Trafficked: Children who have been trafficked (not including those in CSEC).			0
	CAHR CSEC: Children at High-Risk of Entering Commercial Sexual Exploitation.			0
	CSEC: Children in Commercial Sexual Exploitation (and not counted as trafficked).			0
	<b>TOTAL Period 1</b>	0	0	0

*(Only projects addressing trafficking and CSEC need to report on this indicator.)*

This table collects a subset of the data reported in E1. Projects are required to fill out the E1.1 table if their project has direct beneficiaries that are victims of trafficking and/or CSEC or direct beneficiaries that are at high risk of being trafficked or entering into CSEC. After calculating the overall numbers for all direct beneficiaries (including trafficking and CSEC) and reporting them in Table E1, projects should then disaggregate the trafficking and CSEC beneficiaries and report them in Table E1.1. The data collected will represent children provided with services in the current reporting period. *Note that the same child should not be reported as both trafficked and in CSEC – they can be counted in only one category.*

**To report a child that has been a victim of trafficking or CSEC as having been provided education or vocational services in Table E1.1, please consider the following:**

- If a child has been trafficked into CSEC, then that child should only be counted as trafficked, **NOT** CSEC.
- If the child is in CSEC, but has not been trafficked into that situation, then they should only be counted in the CSEC row.
- If a child is in CSEC, but it is unclear whether or not trafficking was involved, only count that child in CSEC.
- If a child is trafficked into any other form of labor exploitation (i.e. non-CSEC), they should be counted as trafficked.

**If a project reports a child under E1.1**, the project should as a minimum standard have in place and offer to such children specific education and/or non-educational services tailored to the specific needs of these children (e.g., awareness-raising and education focusing on CSEC and trafficking prevention, protection services, counseling, health education, and re-integration). It is recognized that many of the children receiving services may be considered at high risk for being trafficked or entering CSEC. However, for the purpose of reporting beneficiary data on sub-indicator E1.1 through the TPRs, projects should report only on those direct beneficiaries that were successfully targeted (with appropriate services) to prevent them from being trafficked or entering CSEC. In other words, if beneficiaries are not being provided with services tailored to the needs of CSEC/trafficking victims or potential victims, they should not be counted under E1.1.

#### **Education Indicators E2, E3, E4**

**E2. Number of children engaged in or at high-risk of entering child labor provided formal education services.**

**E3. Number of children engaged in or at high-risk of entering child labor provided non-formal education services.**

**E4. Number of children engaged in or at high-risk of entering child labor provided vocational services.**

## Education Indicators E2, E3, & E4

**E2: Number of children engaged in or at high-risk of entering child labor provided formal education services**  
**E3: Number of children engaged in or at high-risk of entering child labor provided non-formal education services**  
**E4: Number of children in or at high-risk of entering child labor provided vocational services**

Reporting period	Number of children provided formal education services		Number of children provided non-formal education services		Number of children provided vocational services	
	Girls	Boys	Girls	Boys	Girls	Boys
PERIOD 1 1 Oct. 2011 - 31 Mar. 2012						
Completed*						

\*Please note that in most cases the total for E1 will not equal the totals for E2, E3 and E4. E1 counts the number of individual children provided with educational or vocational services. E2, E3, & E4 count the number of children enrolled in a specific type of service. As it is possible for a child to be enrolled in more than one type of service, the child will need to be reflected in the different categories of services.

These tables collect data on specific types of services provided to the beneficiaries. The objective of these sub-indicators is to identify the number of children who have been provided a particular type of educational or vocational service (e.g. formal education service, non-formal education service, and vocational service).

The data in Tables E2, E3, and E4 are at the level of the number of children. A child is to be counted as provided at the point in time that he/she begins receiving a specific educational service. A child may receive multiple types of educational services if appropriate. **However, a child can only be counted once under each of the three types of education services.** In other words a child that received services initially in non-formal education and afterwards received formal education will be counted once in E2 and once in E3.

The E2, E3, & E4 tables also require information on the number of children completing the type of educational service. **Completion should be marked during the reporting period when graduation occurred or at the conclusion of the project. Each project should have an USDOL-approved definition of completion that is specific to their project and interventions. That approved definition should be the basis for reporting on completion in these tables.**

It is USDOL's expectation that projects will provide the necessary support to assist children in succeeding in their respective educational programs, including transitioning successfully to the appropriate next level or type of service (for example, from non-formal to formal or vocational training to decent work).

### **Education Definitions (E1, E2, E3, E4)**

**Child labor** under international standards very generally refers to all work performed by a person below the age of 15, as described in ILO Convention 138. It also includes all work performed by a person below the age of 18 in the following practices as described in ILO Convention 182 on the Worst Forms of Child Labor: (A) all forms of slavery or practices similar to slavery, such as the sale or trafficking of children, debt bondage and serfdom, or forced or compulsory labor, 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 purposes; (C) the use, procuring, or

offering of a child for illicit activities in particular for the production and trafficking of drugs; and (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. The work referred to in subparagraph (D) should be determined consistent with international standards, including ILO Recommendation 190, and is generally determined by the laws, regulations, or competent authority of the country involved.

**Children at high-risk of entering child labor** refers to children who are not yet in child labor and who experience or are exposed to a set of conditions or living circumstances (family environment or situation, proximity to economic activities prone to employ children, etc.) that make them more likely to be working in child labor (e.g. siblings of working children). The definition of high-risk should be defined by the project and utilized in the baseline survey.

**Light Work** refers to work by children from 13 to 15 years of age that is permissible if defined as so by national laws or regulations. Light work, as stated in Convention 138, must not be harmful to children's health or development nor prejudice their attendance at school or participation in approved vocational orientation or training programs. National laws may also permit such work for children who are at least 15 years of age but not yet completed compulsory schooling.

**Child trafficking** is defined based on international standards and conventions. The UN Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, defines trafficking as: "...the recruitment, transportation, transfer, harboring or receipt of persons, by means of the threat or use of force or other forms of coercion, of abduction, of fraud, of deception, of the abuse of power or of a position of vulnerability or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person, for the purpose of exploitation." The ILO has developed the following criteria and guidelines to help identify the trafficking of children specifically. The following elements should be considered:

- A child is a person under the age of 18 years;
- Recruitment, transportation, transfer, harboring or receipt, whether by force or not, by a third person or group;
- The third person or group organizes the recruitment and/or these other acts for exploitative purposes;
- Movement may not be a constituent element for trafficking in so far as law enforcement and prosecution is concerned. However, an element of movement within a country or across borders is needed – even if minimal – in order to distinguish trafficking from other forms of slavery and slave-like practices enumerated in Art 3 (a) of ILO Convention 182, and ensure that trafficking victims separated from their families do get needed assistance;
- Exploitation includes:
  - a) all forms of slavery or practices similar to slavery, debt bondage and serfdom and forced or compulsory labor, including forced or compulsory recruitment of children for use in armed conflict (ILO Convention No. 182, Art. 3(a));
  - b) the use, procuring or offering of a child for prostitution; for the production of pornography or for pornographic performances (ILO Convention No. 182, Art. 3 (b));
  - 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 (ILO Convention No. 182, Art. 3(c));
  - 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 (ILO Convention No. 182, Art. 3(d) and ILO Convention No. 138, Art. 3);
  - e) work done by children below the minimum age for admission to employment (ILO Convention No. 138, Arts. 2 & 7).
- Threat or use of force or other forms of coercion, abduction, fraud or deception, or the abuse of power or a position of vulnerability at any point of the recruitment and movement do not need to

be present in case of children (other than with adults), but are nevertheless strong indications of child trafficking.<sup>15</sup>

**Commercial Sexual Exploitation of Children (CSEC)**, covered by category (b) in ILO Convention 182 described above, can be more specifically defined as “sexual abuse by an adult *accompanied by remuneration in cash or in kind to the child or third person(s).*” The remuneration dynamic distinguishes CSEC from the sexual abuse of a child where commercial gain is absent although sexual exploitation is also abuse. CSEC includes:

- Prostitution in the streets or indoors, in such places as brothels, discotheques, massage parlors, bars, hotels, restaurants, among others;
- Child sex tourism;
- The production, promotion and distribution of pornography involving children; and
- The use of children in sex shows (public or private).<sup>16</sup>

The term **completed** refers to either a child’s graduation from or the conclusion of a particular education service. A more project-specific definition of completion should be determined by the project and USDOL.

**Education services** refer to formal and non-formal education services as described below.

**Formal Education** services refer to education provided and/or recognized by the government. Formal education may include government schools, private schools, religious schools, etc. The support of formal education may involve the provision of goods and/or services including direct costs such as school fees and teaching and learning materials and indirect costs such as school uniforms, transportation costs, etc. These goods and/or services are intended to ensure that the child will attend and stay in school. For education goods and/or services to be counted under the education common indicators, they must be linked to a needs assessment that identified the lack of these goods and/or services as a barrier to accessing education for child laborers and at-risk children.

**Non-formal Education** services refer to education provided by any organization or body outside of the formal school system. This education may include literacy, mainstreaming education, accelerated learning, community-based education, bridge courses, remedial education, life skills, etc. Non-formal education services may lead to mainstreaming into formal education or equivalent school certificates.

**Vocational** services refer to education, apprenticeships, and/or training related to a specific vocation, trade or occupation. Vocational education is differentiated from formal or non-formal education and should **not** be counted under formal and non-formal education services. Vocational services provided by a project should reflect a market assessment to determine appropriate skills needed for securing decent work in a given geographic area.

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<sup>15</sup> International Labor Organization’s International Program on the Elimination of Child Labor (ILO-IPEC), “Child Trafficking: The ILO’s Response through IPEC”, Geneva, 2007.

<sup>16</sup> UNICEF, *Child Protection Information Sheet: Commercial Sexual Exploitation* (May 2006), available from [http://www.unicef.org/protection/files/Sexual\\_Exploitation.pdf](http://www.unicef.org/protection/files/Sexual_Exploitation.pdf). See also: ECPAT International, *CSEC Definitions*, available from [http://www.ecpat.net/ei/Csec\\_definition.asp](http://www.ecpat.net/ei/Csec_definition.asp). Additional definitional aspects above provided by ILO-IPEC.

**Livelihood Indicator L1**

**Number of households receiving livelihood services**

<b>Livelihood Indicator L1</b>		
<b>L1: Number of households receiving livelihood services</b>		
Reporting period	<i>Target Number of Households Receiving Services</i>	Actual Number of Households Receiving Services
PERIOD 1 1 Oct. 2011 - 31 Mar. 2012		
PERIOD 2 1 Apr. 2012 - 30 Sept. 2012		
Total Fiscal Year 2012	<b>0</b>	<b>0</b>

This table collects data on livelihood services. The measurement of L1 is at the household level and aims to count the total number of households receiving livelihood services. A household should be counted as receiving a livelihood service **when any member of a household is supplied with their first livelihood service**. A household may only be counted **once** in this table even if more than one person in the household receives a livelihood service during consecutive reporting periods (note: at the sub-indicator L2, L3, L4, and L5 level, an individual may be counted under multiple services).

A household is eligible to receive livelihood services if any child in the household is *engaged* in or at *high-risk* of entering child labor. The purpose of providing a livelihood service must be to help withdraw or prevent a child from involvement in child labor. An individual may receive multiple livelihood services. (Please refer to the definitions of child labor and high-risk). Please note that a household should be counted as one unit.

**Livelihood Indicators L2, L3, L4, L5**

**L2: Number of adults provided with employment services**

**L3: Number of children provided with employment services**

**L4: Number of individuals provided with economic strengthening services**

**L5: Number of individuals provided with services other than employment and economic strengthening**

<b>Livelihood Indicators L2 and L3 and L4 and L5</b>				
<b>L2: Number of adults provided with employment services</b>				
<b>L3: Number of children provided with employment services</b>				
<b>L4: Number of individuals provided with economic strengthening services</b>				
<b>L5: Number of individuals provided with services other than employment and economic strengthening</b>				
Reporting period	Number of adults provided with employment services	Number of children provided with employment services	Number of individuals provided with economic strengthening services	Number of individuals provided with services other than employment and economic strengthening

U.S. Department of Labor, Bureau of International Labor Affairs  
Office of Child Labor, Forced Labor and Human Trafficking

	Female	Male	Girls	Boys	Female	Male	Female	Male
PERIOD 1 1 Oct. 2011 - 31 Mar. 2012								
PERIOD 2 1 Apr. 2012 - 30 Sept. 2012								
<b>TOTAL Fiscal Year 2012</b>	<b>0</b>							

\*Please note that in most cases the total for L1 will not equal the totals for L2, L3, L4, and L5. **L1** counts the **number of households** receiving livelihood services. **L2** and **L3** count the **number of adults and children provided with employment services**. **L4** counts the **number of individuals provided with economic strengthening services**. **L5** counts the **number of individuals provided with services other than employment and economic strengthening**. Please also note that OCFT understands (as noted below) that there are many livelihood services outside of employment services and economic strengthening services. USDOL is not placing a special emphasis on providing these specific services by requiring reporting data on them. USDOL does not require or prioritize projects that provide employment or economic strengthening services. Households receiving any livelihood service (including those not classified as employment or economic strengthening, but not including educational or vocational training services for children under the age of 18) should be reported in L1. *Projects should follow their proposed livelihood strategy as described in their project proposals.*

The data in Tables L2, L3, L4, and L5 are at the individual (adult/child) level. An individual is to be counted at the point in time that he/she is provided with their specific livelihood service. An individual may be provided with multiple types of livelihood services if it is applicable to the individual. ***However, an individual can only be counted once under each of the types of livelihood services.*** For example, an adult who is provided with an employment service and subsequently/simultaneously provided with an economic strengthening service, will be counted once in L2 and once in L4.

It is USDOL's expectation that projects will provide the necessary support to assist individual children and families in succeeding with their respective livelihood programs. USDOL intends to assess the relative success of projects in linking livelihood promotion to reduced child labor when evaluating overall project effectiveness.

### **Livelihoods Definitions (L1, L2, L3, L4, L5)**

An **adult** is any person equal to or above the age of 18 years.

A **child** is any person below the age of 18 years.

A **household** consists of all persons—related family members and all unrelated persons—who occupy a housing unit and have no other usual address. A house, an apartment, a group of rooms, or a single room is regarded as a housing unit when occupied or intended for occupancy as separate living quarters (see [http://www.bls.gov/cps/eetech\\_methods.pdf](http://www.bls.gov/cps/eetech_methods.pdf)). Depending on the implementing environment, each project may also have a more detailed definition of a household. Such a project-specific definition must be approved by USDOL.

A **Livelihood** is defined as a means of living, and the capabilities, assets (including both material and social resources, such as, food, potable water, health facilities, educational opportunities, housing, and time for participation in the community), and activities required for it. A livelihood encompasses income, as well as social institutions, gender relations, and property rights required to support and

sustain a certain standard of living. It includes access to and benefits derived from social and public services provided by the state, such as education, health services, microfinance, and other infrastructure. Sustainable livelihood programs seek to create long-lasting solutions to poverty by empowering their target population and addressing their overall well-being. USDOL child labor elimination projects focus on ensuring that households can cope with and recover from the stresses and shocks and maintain or enhance present and future capabilities and assets in a way that helps them overcome the need to rely on the labor of their children to meet basic needs.<sup>17</sup>

**Livelihood services** may include, but are not limited to, the provision or linkage to education and training, employment services, economic strengthening services, consumption smoothing services, and social capital services. Definitions of livelihood services include but are not limited to the following categories:

- **Employment services for adults** aim to increase employment, job retention, earnings, and occupational skills of participants. Employment services may include the provision or linkage to employment assistance programs, occupational safety and health training, micro-franchise programs, job placement, apprenticeships and public works programs. For the purposes of reporting on USDOL-funded projects, Grantees may report employment services received by **adults**<sup>18</sup> under sub-indicator L2. **Education and training services for adults** will also fall under this sub-indicator. **Education and training services** aim to provide adult participants with the basic skills and knowledge necessary to benefit from social services, financial services, and higher education. Education and training services may include the provision or linkage to life skills, business or leadership training, financial education, and literacy and numeracy programs. Only **adults** may be counted in this category as receiving education and training services. **Children who receive education and training services are to be counted under E1.**
- **Employment services for children of legal working age** aim to increase employment, job retention, earnings, and occupational skills of participants. Employment services may include the provision or linkage to employment assistance programs, business start-up packages, and occupational safety and health training. **Employment services for children do NOT include the provision or linkage to vocational training or apprenticeships as that is captured under E4.** For the purposes of reporting on USDOL-funded projects, Grantees may only report employment services received by **children of legal working age** as a livelihood service under sub-indicator E3.
- **Economic strengthening services** aim to increase the economic well-being of participants. Economic strengthening services may include the provision or linkage to micro-credit/loan programs, productivity transfers, cooperatives, and consumption smoothing services. For the purposes of reporting on USDOL-funded projects, Grantees may report economic strengthening services received by **adults and children of legal working age** as livelihood services under sub-indicator L4 [as noted below, children under age 18 may not receive microcredit/loans].
  - **Linkage to micro-credit or loan programs** means providing target groups with access to financial services via linkages or through a network/association of small-scale finance providers. USDOL-funded projects must assess and safeguard against possible negative impacts of micro-finance on the livelihoods of target beneficiaries or other possible unintended consequences such as the potential of encouraging child labor. **Under USDOL-funded projects, children under age 18 may not receive any micro-credit/loan services, though they may receive other micro-finance services.**
  - **Productivity transfers** are inputs aimed at improving the productivity and/or efficiency of processes and may include, for example, training, seeds, fertilizers, fuel, and labor-saving technologies.

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<sup>17</sup> Chambers and Conway, 1992, and Masanjala, 2006, see also [http://pdf.usaid.gov/pdf\\_docs/PNADR399.pdf](http://pdf.usaid.gov/pdf_docs/PNADR399.pdf))

<sup>18</sup> A legal **adult** is a person who has attained the age of 18.

- **Cooperatives** are groups owned and operated by individuals, organizations or businesses for their mutual benefit. For example, agricultural cooperatives or farmers' co-ops may provide services, such as training, to individual farming members; pool production resources (land, machinery) so that members can farm together; provide members with inputs for agricultural production, such as seeds, fertilizers, and machinery; and engage in the transformation, distribution, and marketing of farm products. Please also see *ILO Recommendation 193 on Promotion of Cooperatives* for further guidance.
- **Consumption smoothing services** aim to mitigate economic shocks by leveling out the consumption of participants over time. Consumption smoothing services may include community-based village savings and loan programs (loans must be used for consumption purposes i.e., medicine, food, or funeral expenses), micro-insurance, micro-savings, remittance services, government cash transfer programs, health services, food programs, housing, and other initiatives that aim to smooth consumption over time.
- **Livelihood services other than employment and economic strengthening (L5)** include any project-specific interventions that do not fit under the other sub-indicators. **Social capital services, for example**, aim to connect a participant with networks or groups for purposes including promoting sustainable livelihoods and reducing vulnerability to child labor. Social capital services facilitate the coordination resources for the mutual benefit of the participants. Social capital services may include the provision or linkage to support groups, farmer organizations and labor sharing arrangements. For the purposes of reporting on USDOL-funded projects, Grantees may report social capital services received by adults and children of legal working age as a livelihood service.
- **Receiving** refers to when any member of a household is supplied with their first livelihood service by the project, as defined by the project's strategy. Please note that households may receive multiple livelihood services.

### **Livelihood Indicator L2**

#### **Number of adults provided with employment services.**

The objective of this sub-indicator is to identify and record data on the specific number of adults provided with employment services. Adults should only be counted in the reporting period within which they were initially provided with their employment service (**Provided** refers to the point of time when a specified service is given to an individual by the project).

An adult will be eligible to receive livelihood services if they are a member of a household with children that are engaged in or at high-risk of entering child labor. **An individual may receive multiple employment services but should only be counted once within this indicator category** (though they may also be counted in L4 if they receive economic strengthening services or in L5 if they receive other services). Please refer to the definitions of child labor and high-risk.

\*Please note that L2 counts the number of adults provided with employment services. An adult may also be counted under L1 if the employment service is the first livelihood service received by that adult's household as a result of a project intervention (see definition of receiving).

### **Livelihood Indicator L3**

#### **Number of children of legal working age provided with employment services.**

The objective of this sub-indicator is to identify and record data on the specific number of children of legal working age provided with employment services. Children should only be counted in the reporting period within which they were provided their employment service by the project (**Provided** refers to the point of time when a specified service is initially given to an individual by the project).

A child of legal working age will be eligible to receive livelihood services if they are *engaged* in or at *high-risk* of entering *child labor*. **An individual child may receive multiple types of employment services but will be counted only once in this indicator category** (though they may also be counted in L4 if they receive economic strengthening services or in L5 if they receive other services). (Please refer to the definitions of *child labor* and *high-risk*).

\*Please note that L3 counts the number of children of legal working age provided with employment services. A *child* may also be counted under L1 if the employment service is the first livelihood service received by that child's household (see definition of *receiving*).

#### **Livelihood Indicator L4**

**Number of individuals provided with economic strengthening services.**

The objective of this sub-indicator is to identify and record data on the specific number of individuals provided with economic strengthening services. Individuals should be only counted in the reporting period within which they were initially provided their economic strengthening service (**Provided** refers to the point of time when a specified service is given to an individual by the project).

An individual includes adults and children of legal working age. An individual will be eligible to receive livelihood services if they are a child *engaged* in or at *high-risk* of entering child labor or an adult member of a household with children that are *engaged* in or at *high-risk* of entering child labor. **An individual may receive multiple economic strengthening services but will be reported on only once in this Table.**

\* Please note that L4 counts the number of individuals provided with economic strengthening services. An individual may also be counted under L1 if the economic strengthening service is the first livelihood service received by that individual's household (see definition of *receiving*).

#### **Livelihood Indicator L5**

**Number of individuals provided with services other than employment and economic strengthening.**

The objective of this sub-indicator is to identify and record data on the specific number of individuals provided with all other livelihood services not captured under L2, L3, and L4 (employment and economic strengthening services). Individuals should only be counted in the reporting period within which they were initially provided their service (**Provided** refers to the point of time when a specified service is transferred to an individual by the project).

An individual includes adults and children of legal working age. An individual will be eligible to receive livelihood services if they are a child *engaged* in or at *high-risk* of entering child labor or an adult member of a household with children that are *engaged* in or at *high-risk* of entering child labor. **An individual may receive multiple services other than employment and economic strengthening, but will be reported on only once in this Table.**

\* Please note that L5 counts the number of individuals provided with services other than employment and economic strengthening services. An individual may also be counted under L1 if the other service is the first livelihood service received by that individual's household (see definition of *receiving*).

#### **Country Capacity Indicator C1**

**The project has increased the country's capacity to address child labor or forced labor.**

The measurement of C1 is at the local, regional, national, or sectoral level within a country and aims to measure the increased capacity of a country to combat child labor and forced labor. For the purposes of reporting increased country capacity, such efforts will include:

- 1) adaptation of legal framework to meet international labor standards;

- 2) formulation of policies, plans, or programs to combat child labor or forced labor;
- 3) inclusion of child labor or forced labor in relevant development, education, anti-poverty, and other social policies and programs ;
- 4) establishment of a child labor monitoring system;
- 5) institutionalization of child labor and forced labor research (including evaluation and data collection); and
- 6) institutionalization of child labor or forced labor training within government agencies.

The project will provide a narrative description of the efforts made to increase country capacity in Table IIB of the TPR.

**Guidance on counting increased capacity:**

- To meet the capacity indicator criteria, a project ***must have played a substantive role*** in assisting countries in reaching one or more of the outcomes in the capacity categories. The substantive role can include direct technical inputs in drafting or designing policies or programs, consultative discussions with policy makers and stakeholders, financial support, provision of data and statistics, etc. Projects reporting on a capacity outcome must describe (in Table IIB of the TPR) the role of the project in achieving the outcome.
- Actors involved can include government, private sector, industries, international organizations, and civil society organizations, including workers’ and employers’ organizations.
- Under criteria #3, at least one of the following is required: child laborers or forced laborers must be an **explicit target group**; reduction of child labor must be **mainstreamed** throughout; or reduction of child labor is made an **explicit goal/objective**, in any social, educational, and anti-poverty programs.
- Efforts can be on the local, regional, national, and sectoral (e.g., mining, coffee, sugar) levels. For global/regional projects where capacity was increased in multiple countries, the outcome should be counted for each individual country.
- **Copies of adopted legislation, policy and program documents/agreements must be included with the corresponding TPR submission.**
- Increased capacity will be counted at the point of the final outcome (e.g. child labor policy adopted, legislation amended, etc.) and not at various intermediate stages leading to that outcome. While projects are encouraged to report on updates concerning the progress and process leading to the final outcome, such activities will not count toward the indicator until the final outcome is achieved. Additional examples of accepted types of outcomes are described in the table below.
- In cases where a grantee has more than one project in a single country, and more than one project contributing to a single capacity outcome, the grantee must specify each project’s contribution.

**Increased Country Capacity Definitions (C1):**

For a definition of child labor, please refer to the definition in the “[Education Definitions](#)” section.

**Forced labor** is all work or service exacted from any person under the menace of any penalty for its nonperformance and for which the worker does not offer himself voluntarily. “Compulsory labor,” “slavery,” “debt bondage,” “bonded labor,” “serfdom,” and “involuntary servitude” are considered to be types of forced labor.

**Increased capacity** refers to the enhanced knowledge and ability of governments, individuals, communities, and organizations to effectively achieve goals and develop laws, policies, programs, systems, etc. and sustain in those achievements.

Examples of Country Capacity activities follow in the table below.

<b>Country Capacity to Address Child Labor or Forced Labor</b>
<p><i>NOTE: The activities under each heading below are illustrative examples and are not intended to be an exhaustive list of possible results.</i></p>
<b>1. The adaptation of the legal framework to meet international labor standards</b>
<p><u>Examples of progress in this area include the following:</u></p> <ul style="list-style-type: none"> <li>▪ Adoption of revised labor code which increases minimum age for work, harmonizing the country's legal framework with international standards.</li> <li>▪ Adoption of new penal code, creating new prohibitions against child pornography and child sex tourism.</li> <li>▪ Adoption of local-level ordinances establishing regulations to inspect businesses for child labor;</li> <li>▪ Adaptation of labor code or education laws to address child labor concerns;</li> <li>▪ Adaptation of criminal code to prohibit certain criminal worst forms of child labor (WFCL);</li> <li>▪ Development and adoption of a list of hazardous occupations for children.</li> <li>▪ Adoption of new law prohibiting forced labor.</li> </ul>
<b>2. Formulation and adoption of specific policies, plans or programs to combat child labor or forced labor</b>
<p><u>Examples of progress in this area include the following:</u></p> <ul style="list-style-type: none"> <li>▪ The National Steering Committee has adopted a policy, plan or program on WFCL or a specific WFCL;</li> <li>▪ The Ministry of Education has adopted a policy on combating child labor within the education system;</li> <li>▪ Social Partners have formally established a policy or program on WFCL or forced labor;</li> <li>▪ Private sector businesses develop a code of conduct to prohibit a specific WFCL (e.g.; tourism association creates code of conduct against child sex tourism).</li> </ul>
<b>3. The inclusion of child labor or forced labor concerns in relevant development, education, anti-poverty, and other social policies and programs</b>
<p><u>Examples of progress in this area include the following:</u></p> <ul style="list-style-type: none"> <li>▪ National or local-level private entities, such as microfinance banks, include child labor reduction as a requirement for loan approval.</li> <li>▪ Reduction of child labor is included <u>as an indicator</u> in poverty reduction, development or educational strategies, etc. (e.g., UN Development Assistance Framework, Poverty Reduction Strategy Paper, Education for All, Millennium Development Goals);</li> <li>▪ The elimination of child labor or forced labor has been included as an <u>explicit objective</u> in government, private sector, and civil society livelihood programs.</li> <li>▪ Child laborers have been considered as a <u>priority target group</u> in the poverty reduction, development or educational strategies, etc.</li> <li>▪ Ensuring that children go to school and do not work has been <u>set as a condition</u> for families that wish to benefit from social and stipend programs.</li> </ul>
<b>4. Establishment of a child labor monitoring system (CLMS)</b>
<p>To meet this indicator, the CLMS or CLMS plan is established, and all stakeholders have formally agreed to support the CLMS plan and implementation.</p> <p>A CLMS involves the identification, referral, protection, and prevention of child labor through the development of a coordinated multi-sector monitoring and referral process that aims to cover all children living in a given geographical area.</p> <p><u>Progress in this field can be demonstrated if one or several of the following systems has been established:</u></p> <ul style="list-style-type: none"> <li>▪ A comprehensive plan and/or pilot program to develop and establish national, local or sector specific CLMS.</li> <li>▪ A CLMS covering various forms of child labor at the national level;</li> <li>▪ A CLMS covering various forms of child labor at the local level;</li> <li>▪ A CLMS in any formal or informal sector, urban or rural; or</li> </ul> <p><u>A comprehensive and credible CLMS includes the following characteristics:</u></p> <ul style="list-style-type: none"> <li>▪ The system is focused on the child at work and/or in school;</li> <li>▪ It involves all relevant partners in the field, including labor inspectors if appropriate;</li> <li>▪ It uses regular, repeated observations to identify children in the workplace and determine risks to which they are exposed;</li> <li>▪ It refers identified children to the most appropriate alternative to ensure that they are withdrawn from hazardous work;</li> </ul>

- It verifies whether the children have actually been removed and/or shifted from hazardous work to an appropriate situation (school or other);
- It tracks these children after their removal, to ensure that they have satisfactory alternatives; and
- It keeps records on the extent and nature of child labor and the schooling of identified child workers.

#### 5. Institutionalization of child labor and forced labor research (including evaluation and data collection)

Examples of progress in this area include the following:

- Government has designed a national or sector or area-based child labor or forced labor survey and has an implementation plan.
- Government (at any level), social partners, or other key stakeholder conduct child labor or forced labor research or data collection on one or several specific forms of child labor or forced labor at the national, regional, or local level.
- Government or social partners or other key stakeholders commission, design or implement a program or impact evaluation of a child labor program or other relevant development program that covers child labor.
- Child Labor outcomes and indicators are an area of analysis in impact evaluations, institutional monitoring and evaluations systems, and evaluations/assessments of poverty reduction, development or educational strategies.
- Data has been collected for national child labor (or forced labor) surveys.
- A national child labor (or forced labor) survey report has been published.

#### 6. Institutionalization of training on child labor or forced labor issues within government agencies

Examples of progress in this area include the following:

- The adoption of curriculum by the Ministry of Education to train teachers on child labor prevention;
- The creation of a training program and budget on the identification of and assistance to child laborers or forced for government officials in social service agencies;
- The development of an annual child labor or forced labor training program and budget for labor inspectors.
- The establishment of a training program and budget for judicial and law enforcement officials on the criminal worst forms of child labor and their identification.
- Annual line item budgetary allocations to implement child labor or forced labor training programs for labor inspectors.

## Annex IV: Project Revision Form

*Template recommended for use.*

### PROJECT REVISION FORM

Project Title:

Grantee:

Cooperative Agreement Number:

USDOL Appropriation Number:

Submission and Resubmission Dates: *(Include both, as applicable)*

See MPG Section IX. [Project Revisions](#) for more detailed information regarding the submission requirements for revision requests.

**BACKGROUND AND JUSTIFICATION FOR PROJECT REVISION**

*Please provide a concise description of the purpose for the revision, followed by a detailed narrative justifying the request.*

**EFFECTS OF REVISION ON THE PROJECT**

*In the table below, include all changes to the project associated with the proposed request. Describe the current status for each category in the middle column and the proposed changes in the right-hand column. If no changes are anticipated in a category, type "no change."*

<b>Project Elements</b>	<b>Current Project Status</b>	<b>Changes anticipated through this revision request</b>
<b>Geographical areas</b>		
<b>Target group – direct beneficiaries</b>		
<b>Indicators - project purpose level</b>		
<b>Program strategies leading to significant change in project outputs</b>		
<b>Project purpose</b>		
<b>Key personnel</b>		
<b>Budget</b>		
<b>Project duration/ end date</b>		
<b>Other (please specify)</b>		

**SUPPORTING DOCUMENTS**

*Include additional documents to justify this revision request, such as SF424 and SF424A, resume of proposed key personnel, current status of results against project indicators, or updated work plan. In addition, budget revision requests must include a revised detailed output-based budget showing current and proposed line item allocations, and the Budget Revision Summary Sheet (see below). Include a budget narrative, as applicable.*

**BUDGET REVISION SUMMARY SHEET**

Project Title:

Grantee:

Cooperative Agreement Number:

USDOL Appropriation Number:

**COMPARISON OF BUDGETS**

*Include a table below which includes the current budget allocation, proposed budget allocation, and the difference between the two, for major budget categories or line items which will be changed by the proposed revision. See sample below.*

*Sample Budget Summary Table*

<b>Budget Lines</b>	<b>Current Approved Allocation Level</b>	<b>Proposed New Allocation Level</b>	<b>Difference</b>
Salary and Fringe	\$180,000	\$180,000	0
<i>Subcontracts</i>			
Technical Consultant for Panama	\$25,000	\$15,000	-\$10,000
Technical Consultant for Peru	\$25,000	\$15,000	-\$10,000
Children Now	\$100,000	\$20,000	-\$80,000
Citizens Helping Children	\$50,000	\$130,000	\$80,000
Travel and Per Diem	\$80,000	\$50,000	-\$30,000
Evaluations	\$35,000	\$25,000	-\$10,000
Activities	\$500,000	\$560,000	\$60,000
Printing	\$30,000	\$30,000	0
Other Direct Costs	\$50,000	\$50,000	0
<b>Total</b>	<b>\$1,075,000</b>	<b>\$1,075,000</b>	<b>0</b>

**EXPLANATION OF CHANGES**

*Include a narrative of proposed budget line changes. See sample below.*

**Salary and Fringe:** No change

**Subcontracts and Consultants:** The project had planned to hire two consultants to carry out rapid assessment research of child labor in the urban informal sector in Panama and Peru. The project had cost savings through these activities as the studies required less time than anticipated so consultant costs were lower (funds reallocated to Activities in this request).

The project has terminated a subgrant with Children Now. Children Now was scheduled to provide after school educational assistance to children withdrawn and prevented from the worst forms of child labor. However, the subrecipient decided to suspend operations in the province and leave the project. As a replacement, the organization Citizens Helping Children has been selected through a competitive process to carry on these activities (for more detailed information please see project revision justification).

**Travel and Per Diem:** The project experienced cost savings within travel and per diem funds due to creating additional cost-efficiencies by combining travel with other activities and experiencing unanticipated reductions of in-country travel costs (funds reallocated to Activities in this request).

**Evaluations:** The project had budgeted for evaluations, however these costs were primarily covered by USDOL. The project paid the costs of the stakeholders meeting and project staffs participating while costs related to the external consultant, travel to project sites, etc. were paid by USDOL (funds reallocated to Activities in this request).

**Activities:** The cost savings in the categories listed above will be allocated to the Activities budget line to allow the project to serve an additional 200 children in the project's non-formal educational programs (for more detailed information please see project revision justification). These services are carried out directly by the project.

**Printing:** No change

**Other Direct Costs:** No change

## Annex V: Federal Financial Report (sample)

Grantees must submit the quarterly Federal Financial Report (FFR) Standard Form SF 425 electronically through the eGrants system. The image below is for informational purposes only.

FEDERAL FINANCIAL REPORT						
(Follow form instructions)						
1. Federal Agency and Organizational Element to Which Report is Submitted		2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)			Page	of
					1	
3. Recipient Organization (Name and complete address including Zip code)						
4a. DUNS Number	4b. EIN	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)		6. Report Type <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input type="checkbox"/> Annual <input type="checkbox"/> Final	7. Basis of Accounting <input type="checkbox"/> Cash <input type="checkbox"/> Accrual	
8. Project/Grant Period From: (Month, Day, Year)			To: (Month, Day, Year)		9. Reporting Period End Date (Month, Day, Year)	
10. Transactions					Cumulative	
<i>(Use lines a-c for single or multiple grant reporting)</i>						
<b>Federal Cash (To report multiple grants, also use FFR Attachment):</b>						
a. Cash Receipts						
b. Cash Disbursements						
c. Cash on Hand (line a minus b)						
<i>(Use lines d-o for single grant reporting)</i>						
<b>Federal Expenditures and Unobligated Balance:</b>						
d. Total Federal funds authorized						
e. Federal share of expenditures						
f. Federal share of unliquidated obligations						
g. Total Federal share (sum of lines e and f)						
h. Unobligated balance of Federal funds (line d minus g)						
<b>Recipient Share:</b>						
i. Total recipient share required						
j. Recipient share of expenditures						
k. Remaining recipient share to be provided (line i minus j)						
<b>Program Income:</b>						
l. Total Federal program income earned						
m. Program income expended in accordance with the deduction alternative						
n. Program income expended in accordance with the addition alternative						
o. Unexpended program income (line l minus line m or line n)						
		a. Type	b. Rate	c. Period From	Period To	d. Base
11. Indirect Expense						e. Amount Charged
						f. Federal Share
				g. Totals:		
12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation:						
13. Certification: By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and intent set forth in the award documents. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)						
a. Typed or Printed Name and Title of Authorized Certifying Official				c. Telephone (Area code, number and extension)		
				d. Email address		
b. Signature of Authorized Certifying Official				e. Date Report Submitted (Month, Day, Year)		
14. Agency use only:						

Standard Form 425 - Revised 6/28/2010  
OMB Approval Number: 0348-0061  
Expiration Date: 10/31/2011

**Paperwork Burden Statement**  
According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is 0348-0061. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0061), Washington, DC 20503.

**Annex VI: Government Subaward Matrix**

*Template recommended for use.*

*Grantees must submit this table to the GOR within four months of award for approval, if applicable. Grantees must also submit this table, at any point during the project implementation period, prior to any subaward to a Government Agency. The status of approved subawards to Government Agencies must be reported on in the semi-annual TPRs.*

<b>USDOL Grantee Subawards with Government Agencies</b>					
<b>Name of Project:</b>					
<b>Government Agency</b>	<b>Goal</b>	<b>Output</b>	<b>Activities</b>	<b>Budget in USD</b>	<b>Sole Source Justification</b>

## Annex VII: Equipment and Real Property Inventory List Template (sample)

Grantees must maintain equipment and property records, updated and submitted to the Grant Officer at least every two years, and must submit this table to the GOR at least 120 days prior to the end of the Cooperative Agreement period for project closeout.

This template is available as a Microsoft Excel file from USDOL. The image below is for informational purposes only.

INVENTORY/DISPOSITION RECORD							COOPERATIVE AGREEMENT No.									
DESCRIPTION OF PROPERTY	SERIAL NUMBER OR OTHER IDENTIFICATION	SOURCE OF PROPERTY	TITLE HELD BY RECIPIENT OR U.S. GOVERNMENT	ACQUISITION DATE	% OF FEDERAL PARTICIPATION IN COST OF PROPERTY	ACQUISITION COST OF PROPERTY	USEFUL LIFE OF PROPERTY	DEPRECIATION METHOD	FAIR MARKET VALUE (FMV)	LOCATION OF PROPERTY	PROPERTY USE	CONDITION OF PROPERTY	LAST DATE OF PHYSICAL INVENTORY	METHOD OF DISPOSITION	DATE OF DISPOSITION	SALES PRICE

**INSTRUCTIONS:**  
At least 120 days before the end of the project, or if the grantee no longer has need for the equipment during the project period, the grantee shall request disposition instructions from the USDOL Grant Officer or, for any equipment with an acquisition cost of \$5,000 or more per unit, following the instructions in 29 CFR 95.34(g).

**FAIR MARKET VALUE (FMV):**  
1. Fair Market Value <\$5,000: Grantee must request disposition instructions from USDOL (See Option 2 below). (See 29 CFR 95.34(c))  
2. Fair Market Value \$5,000 or more: Grantee may retain the property for use in other USDOL or federal projects or must dispose of the property as described below.

**DISPOSITION OPTIONS:**  
1. Retention of Title: The Grantee may retain the equipment for other uses, provided that compensation is made to USDOL in an amount calculated by multiplying FMV by USDOL's share of the original cost of the equipment.  
2. Request Disposition Instructions: If the Grantee does not wish to retain the property, it must request disposition instructions from USDOL as described above. USDOL may require either:  
a. Sale of Property: The Grantee may sell the equipment and reimburse USDOL an amount calculated by multiplying the sales price by USDOL's share of the original cost of the equipment, less \$500 or 10% of the proceeds, whichever is less, for selling and handling expenses. Proper sales procedures shall be established which provide for competition to the extent practicable and result in the highest possible return.  
b. Transfer of Title to Federal Government or Third Party: USDOL reserves the right to transfer the title to the Federal Government or to a third party named by the Federal Government. The Grantee shall be paid an amount calculated by multiplying FMV by the Grantee's share of the original cost of the equipment, plus reasonable shipping or interim storage costs.

## Annex VIII: Terms and Definitions

“**Acceptable work**,” while not specifically defined in the ILO Conventions, it is work that is performed by children who are of legal working age, in accordance with national legislation and international standards, namely ILO Conventions 182 and 138; non-hazardous; non-exploitative; and does not prevent a child from receiving the full benefit of an education. For example, “acceptable work” would generally include light work that is compatible with national minimum age legislation and education laws.

“**Area-based approach**” targets all forms of child labor within a defined geographic location.

A “**Child**” or “**children**” are individuals under the age of 18 years. For the purposes of this solicitation, this term also includes older children (“youth”) who are under the age of 18 years.

“**Child labor**” includes those children (minors under age 18) working in the worst forms of child labor as outlined in ILO Convention 182 and children engaged in work that is exploitative and/or interferes with their ability to participate and complete required years of schooling, in line with ILO Convention 138. ILO Convention 182 defines the WFCL as:

- (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 labor, including forced or compulsory recruitment of children for use in armed conflict;
- (b) the use, procuring or offering of a child for prostitution, 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; and
- (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.

Grantees are encouraged to consult Recommendation 190 accompanying C. 182 for additional guidance on identifying hazardous forms of work. According to ILO Convention 182, hazardous work “shall be determined by national laws or regulations or by the competent authority, after consultation with the organizations of employers and workers concerned, taking into consideration relevant international standards...” As this suggests, forms of work identified as “hazardous” for children [Article 3(d)] may vary from country to country. ILO Recommendation No. 190, which accompanies ILO Convention 182, gives additional guidance on identifying “hazardous work.” ILO Recommendation No. 190 states in Section II, Paragraph 3 that, “[i]n determining the types of work referred to under Article 3(d) of the Convention [ILO Convention 182], and in identifying where they exist, consideration should be given, inter alia to:

- (a) work which exposes children to physical, psychological, or sexual abuse;
- (b) work underground, under water, at dangerous heights or in confined spaces;
- (c) work with dangerous machinery, equipment and tools, or which involves the manual handling or transport of heavy loads;
- (d) work in an unhealthy environment which may, for example, expose children to hazardous substances, agents or processes, or to temperatures, noise levels, or vibrations damaging to their health;
- (e) work under particularly difficult conditions such as work for long hours or during the night or work where the child is unreasonably confined to the premises of the employer.

ILO Recommendation No. 190 goes on to state in Paragraph 4 that, “[f]or the types of work referred to under Article 3(d) of the Convention and Paragraph 3 above, national laws or regulations or the competent authority could, after consultation with the workers’ and employers’ organizations concerned, authorize employment or work as from the age of 16 on condition that the health, safety and morals of the children concerned are fully protected, and that the children have received adequate specific instruction or vocational training in the relevant branch of activity.”

**“Child labor monitoring system”** CLMS involves the identification, referral, protection, and prevention of exploitative child labor through the development of a coordinated multi-sector monitoring and referral process that aims to cover all children living in a given geographical area.

Progress in this field can be demonstrated if one or several of the following systems has been established:

- A comprehensive plan and/or pilot program to develop and establish national, local or sector specific CLMS.
- A CLMS covering various forms of child labor at the national level;
- A CLMS covering various forms of child labor at the local level;
- A CLMS in any formal or informal sector, urban or rural.

A comprehensive and credible CLMS includes the following characteristics:

- The system is focused on the child at work and/or in school;
- It involves all relevant partners in the field, including labor inspectors if appropriate;
- It uses regular, repeated observations to identify children in the workplace and determine risks to which they are exposed;
- It refers identified children to the most appropriate alternative to ensure that they are withdrawn from dangerous work;
- It verifies whether the children have actually been removed and/or shifted from dangerous work to an appropriate situation (school or other);
- It tracks these children after their removal, to ensure that they have satisfactory alternatives; and
- It keeps records on the extent and nature of child labor and the schooling of identified child workers.

**Children at high-risk of entering child labor** refers to children who experience a set of conditions or circumstances (family environment or situation, proximity to economic activities prone to employ children, etc.) under which the child lives or to which the child is exposed that make it more likely that the child will be employed in child labor (e.g. siblings of working children). The definition of high-risk should be defined by the project and used in the baseline survey.

**“Cooperative Agreement”** an award instrument where substantial involvement is anticipated between the donor (USDOL) and the Grantee during the performance of project activities. The level of monitoring and accountability required by USDOL under a Cooperative Agreement is less than what is required under a contract, but more than what is required under a regular grant.

**“Cost sharing”** means any method by which the Grantee accomplishes the work of the grant, or work that supports or enhances the goals of the grant, with funds or other things of value, obtained from the Grantee and/or non-Federal third parties. These methods may include “matching funds” and “in-kind contributions”.

**“Decent work”** is an initiative led by the ILO that promotes higher productivity and fair income for all workers. It is based on four components: (1) job creation, (2) exercise of labor rights, (3) expansion of social protection programs, and (4) social dialogue.

**“Direct beneficiaries”** are children and households that have been provided educational and livelihood services.

**“Direct educational services”** may involve either of the following:

1. The provision of goods and/or services (if lack thereof is a barrier to education) that meets direct beneficiaries’ specific needs and results in their enrollment in at least one of the four categories of educational activities listed below. Examples of goods and/or services that may meet the specific gaps/educational needs of targeted children include tutoring, school meals, uniforms, school supplies and materials, books, tuition and transportation vouchers, or other types of non-monetary

incentives.

The four categories of educational activities that qualify are:

- Non-formal or basic literacy education- This type of educational activity may include transitional, leveling, or literacy classes so that a child may either be mainstreamed into formal education and/or can participate in vocational training activities;
  - Vocational, pre-vocational, or skills training- This type of training is designed to develop a particular, marketable skill (i.e., mechanics, sewing);
  - Formal education - This is defined as the formal school system within the select country; or
  - Mainstreaming - This type of educational activity involves transitioning children from non-formal education into the formal education system. Generally, mainstreaming involves the provision of goods and/or services that may assist in placement testing and enable a child to attend and stay in school.
2. The direct provision of at least one of the following two educational activities by the project to its direct beneficiaries:
- Non-formal or basic literacy education; or
  - Vocational, pre-vocational, or skills training.

Grantees must be able to match a particular service or educational or training opportunity to an individual child. Therefore, project interventions such as infrastructure improvements to schools and other learning environments, teacher training, construction of latrines, inclusion of child labor modules in teacher curriculum, or the provision of classroom chalkboards are not considered “direct educational services” as defined above (see definition of “other project interventions”).

“**Direct services**” are interventions that include educational and livelihood services provided by the project.

“**Educational services**” refers to formal or non-formal education:

- **Formal education services** refer to education provided and/or recognized by the government. Formal education may include government schools, private schools, religious schools, etc. The support of formal education may involve the provision of goods and/or services including direct costs such as school fees and teaching and learning materials and indirect costs such as school uniforms, transportation costs, etc. These goods and/or services are intended to ensure that the child will attend and stay in school.
- **Non-formal education services** refer to education provided by any organization or body outside of the formal school system. This education may include literacy, mainstreaming education, accelerated learning, community-based education, bridge courses, remedial education, life skills, etc. Non-formal education services may lead to mainstreaming into formal education or equivalent school certificates.
- **Vocational education services** refer to education and/or training related to a specific vocation, trade or occupation. For the purposes of a project(s) funded under this solicitation, a child under the age of 18 who receives vocational education services will be counted as having received an educational service. Vocational education services may also be provided to individuals 18 years of age and older in a household, including older siblings of working or at-risk children under the age of 18, if the provision of such services is intended to reduce the likelihood of child labor for a child in that household as a result of improvements to the household’s livelihood. In such cases, the Grantee will report this vocational service to USDOL as a livelihood service provided by the project.

“**Household**” consists of all persons—related family members and all unrelated persons—who occupy a housing unit and have no other usual address. For the purposes of this project a household must include at least one eligible child who is “at high-risk of entering child labor” or “engaged in child labor.”

“**Indirect beneficiaries**” are individuals who may benefit from “other direct services” and/or “other project interventions” provided by the project but who do not receive a “direct educational service.” Such individuals would not qualify as direct beneficiaries.

“**In-Kind contributions**” means goods or services, committed to the project by the Grantee and/or a non-Federal third party. A Grantee will be responsible for obtaining such goods or services from the third party and applying them to the work of the grant. Failure to do so may result in USDOL’s disallowance of costs in the amount of the committed in-kind contributions.

“**Key stakeholders**” can include, but are not limited to: parents, educators, community leaders, national policy makers, and key opinion leaders.

“**Livelihood**” is defined as a means of living, and the capabilities, assets (including both material and social resources, such as, food, potable water, health facilities, educational opportunities, housing, and time for participation in the community), and activities required for it. A livelihood encompasses income, as well as social institutions, gender relations, and property rights required to support and sustain a certain standard of living. It includes access to and benefits derived from social and public services provided by the state, such as education, health services, and other infrastructure. Sustainable livelihood programs seek to create long-lasting solutions to poverty by empowering their target population and addressing their overall well-being. USDOL child labor elimination projects focus on ensuring that households can cope with and recover from the stresses and shocks and maintain or enhance present and future capabilities and assets in a way that helps them overcome the need to rely on the labor of their children to meet basic needs.

“**Livelihood services**” may include, but are not limited to, the provision or linkage to education and training, employment services, economic strengthening services, income smoothing services, and social capital services. Definitions of livelihood services include but are not limited to the following categories:

- **Education and training services** aim to provide adult participants with the basic skills and knowledge necessary to benefit from social services, financial services, and higher education. Education and training services may include the provision or linkage to life skills, leadership training, financial education, and literacy and numeracy programs. Only adults may be counted in this category as receiving education and training services.
- **Income smoothing services** aim to mitigate economic shocks by leveling out the income of participants over time. Income smoothing services may include village savings and loan programs, micro-insurance, micro-savings, (un)conditional cash transfer programs, health services, food programs, housing, and initiatives that aim to diversify the income sources of participants. Adults and children may receive income smoothing services.
- **Social capital services** aim to expand a participant’s connection within and between social networks. Social capital services may include the provision or linkage to support groups and labor sharing arrangements. Adults and children may receive social capital services.
- **Employment services** aim to increase employment, job retention, earnings, and occupational skills of participants. Employment services may include the provision or linkage to employment assistance programs, vocational and business training, business start-up packages, occupational safety and health training, micro-franchise programs, job placement, apprenticeships and public works programs. Adults and children of the legal working age may receive employment services.
- **Economic strengthening services** aim to increase the economic well-being of participants. Economic strengthening services may include the provision or linkage to micro-credit, productivity transfers, and cooperatives. Adults and children of the legal working age may receive economic strengthening services.
- **Productivity transfers** are inputs aimed at improving the productivity and/or efficiency of processes and may include, for example, training, seeds, fertilizers, fuel, and labor-

saving technologies.

- **Cooperatives** are groups owned and operated by individuals, organizations or businesses for their mutual benefit. For example, agricultural cooperatives or farmers' co-op, may provide services, such as training, to individual farming members; pool production resources (land, machinery) so that members can farm together; provide members with inputs for agricultural production, such as seeds, fertilizers, and machinery; and engage in the transformation, distribution, and marketing of farm products.

**“Matching Funds”** means cash or cash equivalents, committed to the project by the Grantee and/or a non-Federal third party. A Grantee will be responsible for obtaining such funds from the third party and applying them to the work of the grant. Failure to do so may result in USDOL’s disallowance of costs in the amount of the committed matching funds.

**“Monitoring and evaluation”** According to the 2011 USAID Evaluation Policy, monitoring and evaluation consists of two basic components —performance monitoring and evaluation— each of which serve distinct purposes. Performance monitoring of changes in performance indicators reveals whether desired results are occurring and whether implementation is on track. In general, the results measured are the direct and near-term consequences of project activities. Evaluation is the systematic collection and analysis of information about the characteristics and outcomes of programs and projects as a basis for judgments, to improve effectiveness, and/or inform decisions about current and future programming.

**“Occupational safety and health”** encompasses issues related to safe and healthy working environments and efforts to prevent workers from occupational injuries, diseases and deaths.

**“Other direct services”** are (1) considered essential for ensuring reduction of children in child labor and (2) provided directly to the project’s direct beneficiaries. Some examples of “other direct services” would include extracurricular activities during school breaks; and psychosocial counseling or medical care (e.g., for children withdrawn from commercial sexual exploitation, child soldiering). Another example would be providing direct beneficiaries who meet minimum age requirements for employment (particularly children 15-17 years) with occupational safety and/or health interventions that promote safe, acceptable work (e.g., protective masks, goggles, gloves) or job placement services to facilitate children’s transition from a vocational or skills training program into acceptable work. If the project provides children with one or more “other direct services” but does not provide them with a “direct educational service,” then the project cannot count these children as “direct beneficiaries.” However, such children may be considered “indirect beneficiaries.”

**“Persons with Disabilities”** As defined by the ILO Convention for persons with disabilities, “Persons with Disabilities” includes those who have long-term physical, mental, intellectual, or sensory impairments which in interaction with various barriers may hinder their full and effective participation in society on an equal basis with others. Children who have acquired disabilities as a result of child labor would manifest long-term physical, mental, intellectual, or sensory impairments as a result of their participation in dangerous work activities or hazardous occupations. See also Accelerating action against child labor; Global Report under the follow-up to the ILO Declaration on Fundamental Principles and Rights at Work – 2010. Geneva, 2010. [http://www.ilo.org/global/publications/ilo-bookstore/order-online/books/wcms\\_127688/lang--en/index.htm](http://www.ilo.org/global/publications/ilo-bookstore/order-online/books/wcms_127688/lang--en/index.htm).

**“Quality education”** defined by UNESCO in its paper Defining Quality in Education recognizes five dimensions of quality: learners, environments, content, processes and outcomes, founded on ‘the rights of the whole child, and all children, to survival, protection, development and participation’ (UNICEF, 2000).

**“Social programs”** include government interventions that seek to mitigate the impact of economic shocks, promote equity, and reduce poverty by providing social assistance to vulnerable populations. They can include cash transfers, microloans, health insurance, scholarships, savings, vocational training, and temporary jobs. Some of USDOL-funded projects have worked with governments to include project

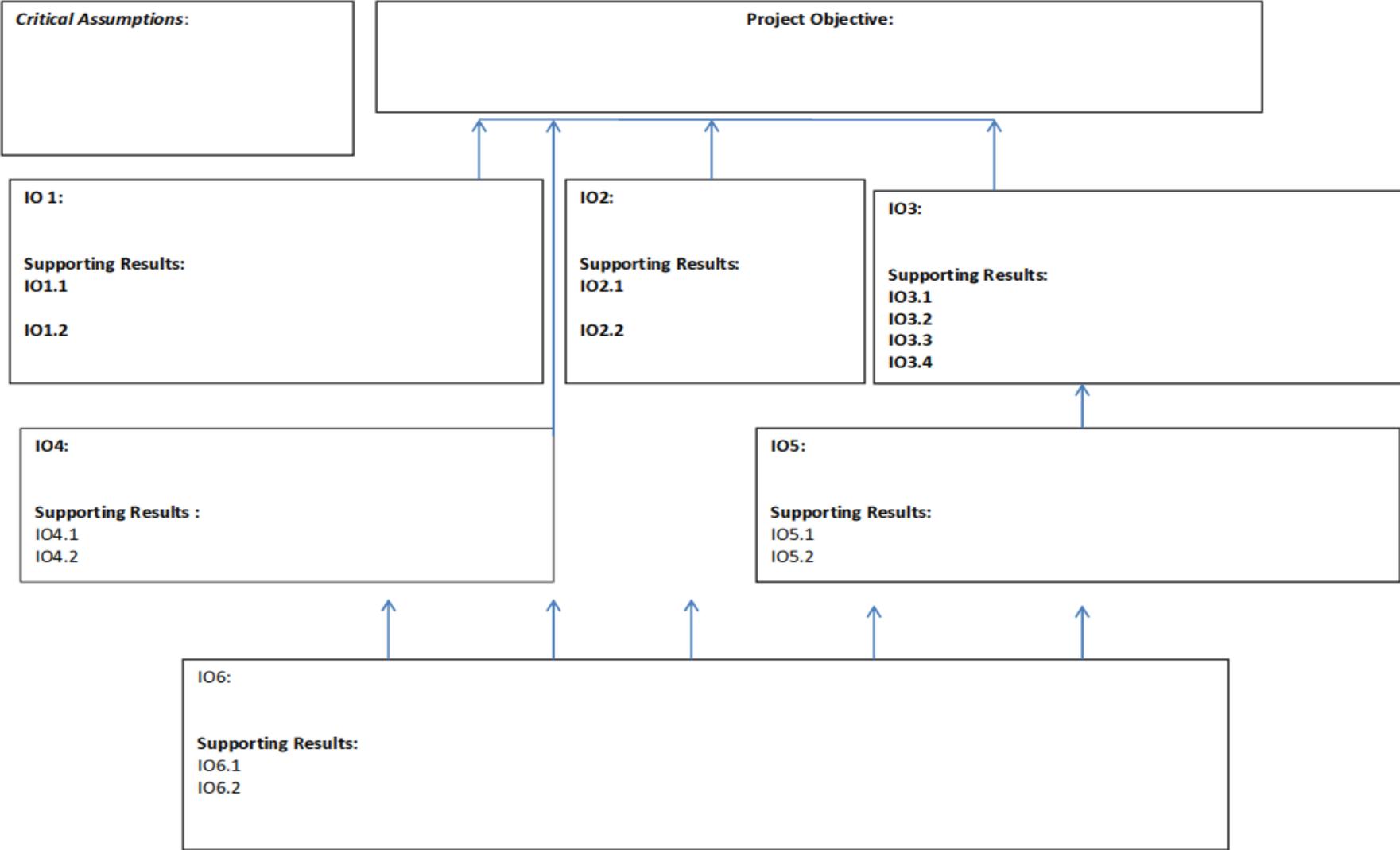
beneficiaries in social protection programs, provide project services to social protection beneficiaries or conduct joint initiatives to combat child labor within the social-protection programs' framework.

**“Youth employment”** seeks to provide employment opportunities for youth ages 15 to 24, who currently lack decent work and face underemployment, temporary and involuntary work with few benefits, and limited opportunities for advancement. USDOL projects recognize the value of safe work for youth and their families and may support efforts to (1) promote youth employment opportunities that ensure youth can access educational, developmental, vocational, economic, and social opportunities, and (2) protect working children from hazards in the workplace.

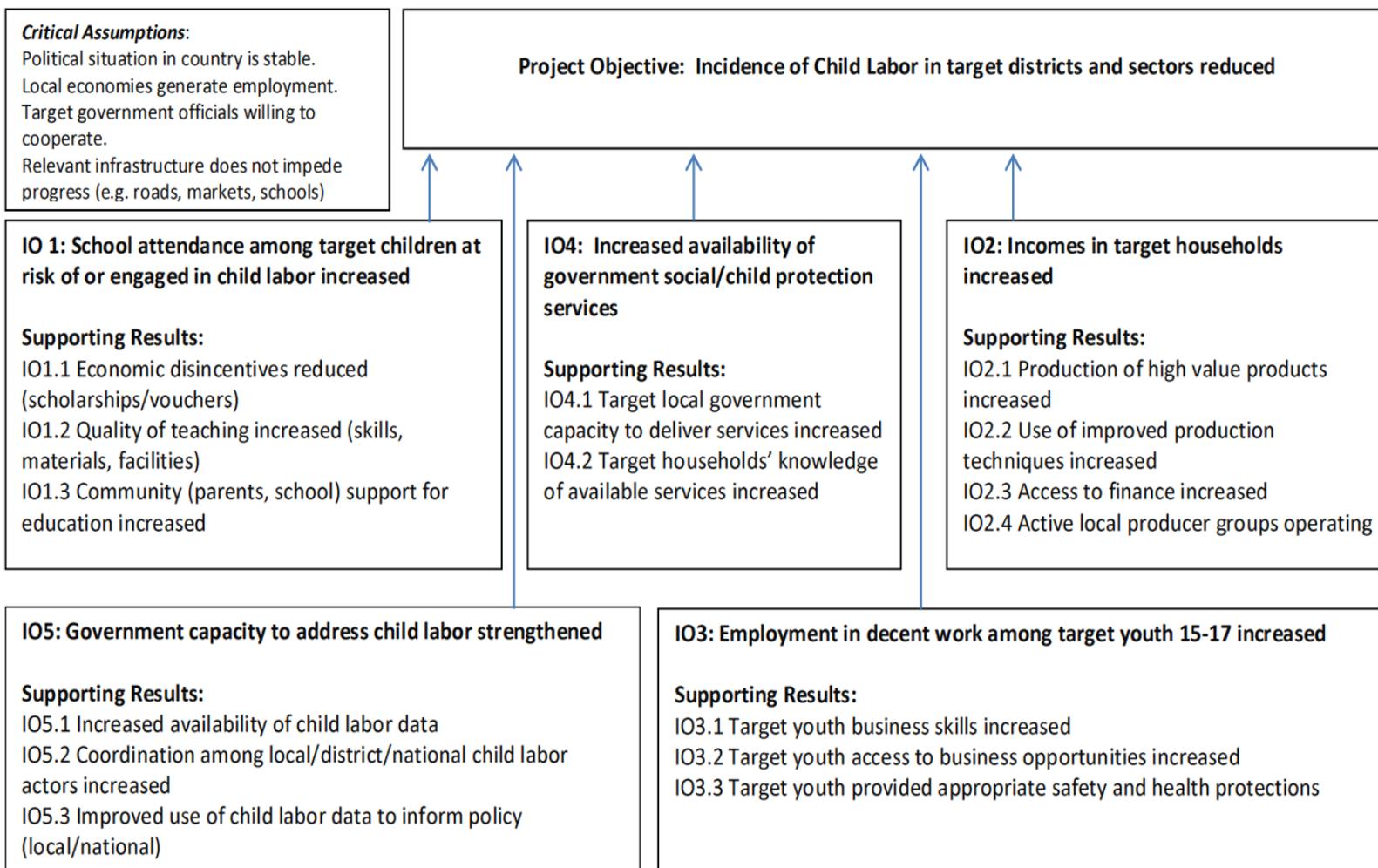
## **Annex IX: Results Framework Sample Template**

This template serves as an example only, and may be subject to modification. OCFT and the USDOL M&E Expert will provide grantees with any updates to the template.

**Results Framework Sample Template**



## Results Framework Sample



## Annex X: Baseline and Follow-up or Endline Survey Guidance

As of Fiscal Year 2012, grantees of the Office of Child Labor, Forced Labor and Human Trafficking (OCFT) at the U.S. Department of Labor are required to budget for, conduct and analyze baseline and follow-up or endline surveys, in order to help evaluate the outcomes of projects' efforts. This document provides more detailed guidance on these baseline and follow-up requirements, including the purpose of these studies, the minimum expectations for the types of data that should be collected, and other sampling and analytical requirements. While the baseline and follow-up or endline surveys will include a variety of data-gathering activities, this guidance primarily focuses upon requirements for the household-based prevalence survey component. For FY 14 grantees, this guidance is part of the Management Procedures and Guidelines (MPG) and is therefore binding. For FY 12 and FY 13 grantees, this guidance is highly recommended. Grantees should consider this guidance to be the beginning of an ongoing consultation between project staff and USDOL to develop a high-quality methodological approach for baseline and follow-up or endline surveys, and should consult with USDOL through the planning and implementation of their baseline and follow-up or endline surveys.

### 1. How does OCFT define baseline and follow-up or endline surveys?

**Baseline data** may be defined as a collection of information for a set of indicators that describes the key characteristics of a certain group or situation at a given point in time prior to the start of an intervention. This data is the basis (baseline), or comparison point, for future analysis, and is critical to assess change over time. For OCFT projects, this data provides a picture of the child labor situation in the target area at the point in time immediately prior to project implementation, as well as baseline values for other indicators as identified in the project's Comprehensive Monitoring and Evaluation Plan (CMEP).

A **baseline survey** (also referred to as a baseline, or baseline study) is the exercise to systematically collect, analyze and report on the baseline data. Baseline studies for OCFT projects may involve surveying individuals, households, teachers and/or schools, and may also include supplemental situational analyses of institutional capacities or other implementing environment-related factors.

A **follow-up survey**, or **endline survey** provides another snapshot of the child labor situation after an intervention has been implemented, allowing the collection and analysis of comparable data to that collected in the baseline. For OCFT, the follow-up or endline survey is a repetition of the baseline survey, which may be modified as relevant, that allows the Grantee to identify project and child labor outcomes and to assess<sup>19</sup> possible impacts of the project interventions on the project's direct beneficiaries. In most cases, the follow-up or endline survey will take place towards the end of the project, as per MPG requirements.

### 2. Why is OCFT requiring baseline and follow-up or endline surveys?

OCFT requires both baseline and follow-up or endline surveys to support improved understanding of the outcomes of project activities, and specifically, to understand changes in prevalence of child labor in project areas. The baseline and follow-up data can also be used to assess key variables among project beneficiaries that occur during the life of the project. Analysis of baseline and follow-up data

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<sup>19</sup> Without a valid control group, we cannot definitively attribute changes in the situations of project beneficiaries to project efforts, but we can provide evidence that assesses the extent to which the project's beneficiaries experienced change.

will help answer the following questions:

- What changes in the prevalence and nature of child labor occurred in project areas during the project? For example, what is the percentage change in the number of children working from the beginning to the end of the project? Are fewer children involved in hazardous work?
- What changes did project beneficiaries experience in education status during the project period? In socio-economic status? For example, what is the percentage change in school attendance among child beneficiaries?

### 3. What is the purpose of OCFT baseline surveys?

**Baseline.** OCFT project baseline surveys must contribute to the measurement of project outcomes and inform management decisions by collecting data to:

- Estimate the prevalence of child labor, hazardous work and other Worst Forms of Child Labor (WFCL), as applicable, in project areas;
- Provide baseline values of key indicators and beneficiary population characteristics: for example, benchmark estimates on work status and educational status of direct beneficiaries, estimates of baseline values of outcome and impact indicators in the project's CMEP that are most appropriately collected through a sample survey; and relevant household characteristics of families with children engaged in, or at high risk of, child labor, such as the socio-economic status of beneficiary households;
- Provide context-related information to plan interventions and assess project results; and
- Assess other areas, such as attitudes towards child labor and relevant CMEP indicators most appropriately collected through a sample survey, including impact, project objective, and outcome indicators at individual and household levels, as well as any additional USDOL required indicators.

In consultation with OCFT, Grantees may use information gathered by a baseline survey to propose adjustments in the project as appropriate.

***Required Baseline Data Uses.*** *At a minimum*, information from the baseline survey must be used to:

- Establish a benchmark for the prevalence and nature of child labor for project areas;
- Develop reliable project targets;
- Establish benchmarks on the socio-economic status (especially that of education and livelihoods) of beneficiaries and families and other key household characteristics;
- Refine project design and activities, including the identification and development of relevant services to direct beneficiaries; and
- Establish baseline values for chosen CMEP indicators at the objective, impact and outcome levels.

Baseline activities may be used to identify potential beneficiary populations or those areas best-suited to receive program services, but the primary purpose of the survey should be to estimate the prevalence and nature of child labor in targeted areas.

### 4. What is the purpose of OCFT follow-up or endline surveys?

**Follow-up or endline survey.** The data collected in the follow-up, in conjunction with baseline data, must be used to evaluate beginning to end-of-project changes in:

- The prevalence of child labor, hazardous child labor and other WFCL where applicable, in project areas;

- Values of key indicators and beneficiary population characteristics: for example, the working and educational status of direct beneficiaries, and relevant household characteristics of families with children engaged in, or at high risk of, child labor, such as the socio-economic status of beneficiary households;
- Context-related information to plan interventions and assess project results;
- Other areas, such as attitudes towards child labor and relevant CMEP indicators most appropriately collected through a sample survey, including impact, project objective, and outcome indicators at individual and household levels, as well as any additional USDOL required indicators.

The results of the follow-up or endline survey, and the comparative analysis with the baseline survey, will not allow us to directly attribute the identified outcomes and impacts to the project, but it will improve our understanding of the end-of-project child labor status of direct beneficiaries as well as broader changes in child labor in households and communities during the life of the project. It will also provide a rich source of data to improve the quality of analysis in final project evaluations and any ad-hoc related project research. The survey data will also support a strong, evidence-based platform for the project to showcase successes and lessons learned, and for both the project and OCFT to understand the project's results story.

## 5. What information should the baseline and follow-up or endline surveys collect?

***Required baseline data.*** At a minimum, all Grantees must implement a post-award baseline survey that collects age and gender disaggregated data on child labor in target areas and anticipated sectors, including:

- Estimates of the prevalence of child labor, hazardous child labor, and other WFCL where applicable in project areas, including type of work or activities, hazards to which children are exposed in this work, hours and time of day of work;
- Data for key indicators and beneficiary population characteristics: for example, benchmark estimates on work status and educational status of direct beneficiaries, estimates of outcome and impact indicators in the project's CMEP that are most appropriately collected through a sample survey; and relevant household demographic characteristics of families with children engaged in, or at high risk of, child labor, such as the socio-economic status and living conditions of beneficiary households to help develop and target livelihood services;
- Context-related information identified as critical in the CMEP to plan interventions and assess project results; and
- Other data, such as attitudes towards child labor and values of relevant CMEP indicators most appropriately collected through a sample survey, including impact, project objective, and outcome indicators at individual and household levels, as well as any additional USDOL required indicators.

Applicants should have conducted a pre-award needs assessment, which should be used to inform additional baseline data collection. Grantees should refer to the cooperative agreement and Management Procedures and Guidelines and SGA for guidance on creating project-specific definitions of key concepts, such as 'child labor', and 'children at high risk of child labor'.

***Required follow-up data.*** The follow-up or endline survey is essentially a repeated – and only minimally modified as necessary – baseline survey. The data collected by the follow-up will therefore be very similar to that of the baseline. While the survey must be designed to collect prevalence data, Grantees may also collect data from some of the same respondents surveyed in the baseline in order to assess changes experienced by individual project beneficiaries during the life of

the project, to help understand project impacts.

## 6. What are basic design principles for planning baseline and follow-up or endline surveys?

Baseline and follow-up or endline survey methodologies and data collection techniques must be carefully considered and designed to ensure that:

- The survey provides estimations of the prevalence of child labor, hazardous child labor, as well as other WFCL, where applicable, in project areas;
- communities targeted for survey have been pre-identified as having, or being at risk for, child labor through the required needs assessment or other exercise;
- information is both reliable and valid;
- information is easily assessable and analyzable;
- information is correctly stored in appropriate databases; and
- information collected informs project indicators to assess progress toward targeted results and expected outcomes (child labor, education, livelihood status).

Projects must use a random sample methodology to assess the prevalence of child labor, hazardous child labor, and other WFCL, as applicable, in project areas. Projects may also integrate a panel survey designed to assess the status of a selection, or sample, of beneficiaries at the beginning and end of the project (through the baseline and follow-up or endline surveys) in order to provide evidence of change experienced by specific project beneficiaries throughout the life of the project, or more detailed evidence supporting project impacts on beneficiaries. Panel data may also be useful for developing case studies for use in outreach efforts. See Section 10 for further guidance on sampling methodology.

To achieve these goals, projects should rigorously pilot survey instruments (and ensure that time and budget is allocated for this activity). Thorough piloting of new instruments is critical to ensuring that questions are framed appropriately to allow the project to collect accurate and useful data in the baseline and follow-up or endline surveys. For example, piloting should focus on minimizing response and enumerator bias, ensuring skip patterns are appropriate, and maximizing response rates.

## 7. When should baseline and follow-up or endline surveys be conducted?

***Baseline Survey.*** Grantees must conduct the baseline household survey fieldwork *prior to the start of interventions* that involve substantive interaction with beneficiaries, in order to assess the child labor situation prior to project implementation; preparatory activities that do not involve substantive interaction with beneficiaries may take place prior to the baseline. Furthermore, full project activities can begin once the fieldwork is completed; projects do not need to wait until the baseline report is submitted. The development of Grantees' Comprehensive Monitoring and Evaluation Plans (CMEPs), preparation for which will begin at the Grantee Orientation, can greatly assist grantees in developing questions and indicators for the baseline survey, and the baseline should include questions that will provide data for key indicators. Projects should plan timing accordingly if survey plans must be submitted to and approved by an Institutional Review Board. While OCFT does not have a specific IRB requirement, if the country has an IRB requirement, projects should comply with these requirements.

***Follow-up or Endline Survey.*** Grantees should conduct the follow-up or endline survey towards the end of the project. An analysis of the results of the follow-up or endline survey in relation to the baseline must be submitted to USDOL prior to the end of the project. If available, this data and report should be provided to the external evaluator conducting the project's final evaluation.

***Grantees also should refer to the project deliverables schedule in their Cooperative Agreements and MPG for additional parameters regarding when baseline and follow-up or endline survey activities must take place and corresponding deliverables must be submitted.*** OCFT will review baseline and follow-up or endline survey Terms of Reference documents; grantees should allow time for this within their overall survey timelines. OCFT may request to review additional survey-related documents and products.

#### **8. What is the budget for baseline and follow up or endline surveys?**

Grantees should refer to M&E budget guidelines in their corresponding SCA, Cooperative Agreement, and MPG for specific requirements regarding budgeting for baseline and follow-up or endline survey activities and M&E activities overall. However, and also as noted in those documents, these guidelines provide minimum required budget allocations, and projects may propose additional funds as needed based on their cost analysis; in particular, projects are strongly encouraged to conduct appropriate research on survey costs in the country in which they are operating and to budget for their baseline and follow-up or endline surveys accordingly. Also, as of FY 14, projects are required to contract out their baseline and follow-up or endline survey work; project staff cannot conduct these surveys. Consequently, projects should budget accordingly for this.

Baseline and follow up or endline survey costs can vary greatly depending on factors such as the cost of data collection contractors, the size of the area covered, the sampling methodology used, and other factors. In budgeting staff time and resources, remember that the majority of effort for development and piloting of the baseline and follow-up survey instruments will come during the development of the baseline, as the follow-up or endline survey should very closely mirror that used for the baseline to ensure that data collected is comparable. Whenever possible, the same contractor should generally be used for the baseline and follow-up or endline surveys. Projects should be sure to allocate appropriate funds to provide for the baseline contractor's attendance at the project's CMEP development workshop and the rigorous piloting of the survey instrument.

#### **9. What are the minimum expectations for the baseline and follow-up or endline survey reports?**

Grantees should refer to their Cooperative Agreement and MPG for requirements regarding timing and submission of baseline and follow-up or endline survey reports. *Both reports should be submitted allowing at least two weeks' time for OCFT review, as well as time for revisions based upon OCFT's comments. The final reports should be revised based upon OCFT and project feedback, input, and comments on the draft reports.*

At a minimum, the baseline and follow-up or endline survey reports should include the following, in English:

1. Electronic and hard files with all raw data – two copies – in SPSS, STATA or other format:
  - a. Micro-data files, including survey weights, for public use in English;
  - b. Identifiers to link adult and child responses belonging to the same household;
  - c. Table of survey response rates – full, partial non-response, etc.
2. Log of analyses carried out during data analysis and report writing phase prior to learning/debriefing workshop:
  - a. Public-use datasets, data dictionaries, syntax files, and any other materials required for data analysis;
  - b. Data crosswalks that present which survey items were used to code variables for analysis;
  - c. Draft tables (dummy tables) to present findings from data analysis;
  - d. Final report outlines, including report content, format and data presentation.

3. Electronic copies of *draft and final reports* in English which must include, but is not limited to the following sections:
  - a. Executive summary;
  - b. Background;
  - c. Objectives and research questions;
  - d. Survey Methodology (to include project/survey locations, sampling design and sample size; questionnaire design and development; training; field work; data entry and processing; data analysis; limitations to the study);
  - e. Results presented in narrative and tables/graphs showing clearly prevalence estimates for child labor at a 95 percent confidence interval, presenting standard errors and coefficients of variation; for the follow-up report, these results should analyze changes from baseline to follow-up for key variables;
  - f. Conclusions and Recommendations;
  - g. Annexes (to include references, definitions of key constructs, tables and figures, questionnaires and other data collection instruments, training content for enumerators, piloting process and results, including contractor's follow-up to adjust survey as needed, etc.).

## 10. Technical notes on baseline/follow-up measurement framework and sampling

### Research Design and Measurement Framework:

1. **Methodology:** Baseline and follow-up or endline surveys must be implemented with the appropriate research design and measurement framework. Surveys must include a random sample methodology to assess prevalence of child labor, hazardous work, and other WFCL where applicable. The methodology may also include a panel study to examine changes experienced by individual beneficiaries between the baseline and follow-up or endline surveys. Grantees should consider the impacts that project context and respondents' varying exposure rates to project interventions may have on data, and should propose appropriate stratification of the sample for the survey sampling and analysis. For example, projects may want to stratify the sampling frame based upon the type of interventions a beneficiary receives (different education interventions may have different purposes, for example, and be assessed in different strata), or based upon the length of time in which individuals are exposed to project services (stratification by length of received services or by beneficiaries' project intake date; i.e. stratification of year one beneficiaries, year two beneficiaries, etc.) Survey implementers must specify the intended research/survey design, including sampling methodologies and justification of any stratification, and propose a measurement framework. Plans should include replacement protocols for respondent follow-up (with a minimum of three attempts to contact respondents) and include plans for collecting good contact details for panel respondents (i.e. neighbors' or relatives' contact information in the event that the respondent moves prior to the follow-up or endline survey). Grantees should consult with USDOL to review the sampling strategy and any stratification justification. Survey implementers should make use of and improve upon existing internationally-recognized research methodologies that have been developed for this purpose, including those of the ILO, UNICEF and World Bank, among others.<sup>20</sup> Grantees should also consult with

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<sup>20</sup> ILO, Statistical Information and Monitoring Program on Child Labor (SIMPOC) <http://www.ilo.org/public/english/standards/ipecc/simpoc/index.htm>. See also UNICEF, Multiple Indicator Cluster Survey (MICS), [http://www.unicef.org/statistics/index\\_24302.html](http://www.unicef.org/statistics/index_24302.html). See also World Bank, Living Standards Measurement Study

OCFT on specific sampling, design, and measurement requirements for each specific project.

2. **Definitions:** Projects must develop clear definitions of key constructs such as child labor, hazardous work and activities, WFCL where applicable, and children at high risk of child labor. These definitions must be based upon the international framework as laid out by ILO Conventions 138 and 182, as well as national legal frameworks. Contractors should also refer to the ILO's International Conference of Labor Statistician (ICLS) guidelines for the most recent guidance. Definitions used for surveys also should be consistent with those developed as part of the CMEP process.

3. **Questionnaire design:** Key construct definitions should be supplied to baseline and follow-up or endline survey contractors to be used in developing the survey questionnaires and analysis plans. Survey contractors must operationalize these key constructs (e.g., child labor, hazardous work, working hours, workplace hazards) related to the worst forms of child labor in the target sector. Questionnaires should be tailored to the country or area context and respondent profile (including developing questions appropriate for children), and piloted thoroughly to minimize biases. Where possible, these piloting procedures should include cognitive interviews to assess the validity of the survey instrument. The survey instruments should be designed so that data collected can be analyzed by both ICLS definitions and the national legal framework definitions, should they differ. Definitions and questionnaire design also should be consistent with the project's CMEP.

4. Survey implementers must calculate differences in the number and percentage changes of children working, in child labor, in hazardous work, and in the WFCL where applicable, in project areas, from the beginning to the end of the project. Grantees must work in consultation with OCFT to determine the different types of statistical analyses and the required statistical tests to be performed for evaluating the estimates. At minimum, standard errors, coefficients of variation, and 95 percent confidence intervals should be calculated for prevalence estimates.

## **11. Guidance on Developing a Terms of Reference and Choosing a Baseline/Follow-up Consultant or Firm**

The contractor should be available and willing to attend the first CMEP workshop and should have capacity to make use of and improve upon existing internationally-recognized research methodologies and analysis as outlined above. Ideally, the project would use the same contractor for baseline and follow-up or endline surveys to take advantage of institutional learning and personnel capacity built during the baseline.

Applicants' Proposals should include:

- Overall methodological research design, including training, piloting and field testing procedures,
- Sampling plan/framework;
- Field/Data collection organization and plans for protocols;
- Examples of data collection tools for both quantitative and qualitative components;
- Plan for data storage and security;

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(LSMS),

<http://econ.worldbank.org/WBSITE/EXTERNAL/EXTDEC/EXTRESEARCH/EXTLSMS/0,,contentMDK:21610833~pagePK:64168427~piPK:64168435~theSitePK:3358997,00.html>. See also Understanding Children's Work, <http://www.ucw-project.org/>.

- Draft data analysis plan;
- Template consent form for key informants, Parental Permission Forms for parents and guardians, and Assent Forms for any children under the age of 18, plan for protection of human subjects and IRB approval process;
- Work-plan and schedule

OCFT recommends that projects require the following deliverables:

1. Approved methodology, including sampling design, piloting and training plans, and work plan;
2. Pilot survey instrument and brief report of findings and changes resulting from piloting activities;
3. Final survey tools, instruments, data analysis plan, consent, parental permission and assent forms and protocols used during the baseline/follow-up assessment;
4. Training content of required number of enumerators, supervisors, and data entry staff;
5. Field manual with protocol and implementation plan for survey team, enumerators/data collectors, and supervisors;
6. Approval from relevant Institutional Review Boards when required by country law;
7. Data collection plan and locations: dates, teams, supervision, etc.;
8. Electronic and hard files with all raw data – two copies – in SPSS or other format:
  - a. Micro-data files, including survey weights, for public use in English;
  - b. Identifiers to link adult and child responses;
  - c. Table of response rates – full, partial non-response, etc.
9. Log of analyses carried out during data analysis and report writing phase prior to learning/debriefing workshop:
  - a. Public-use datasets, data dictionaries, syntax files, and any other materials required for data analysis;
  - b. Data crosswalks that present which survey items were used to code variables for analysis;
  - c. Draft tables (dummy tables) to present findings from data analysis;
  - d. Final report outline, including report content, format and data presentation (see suggested outline below in 8).
10. An electronic copy of the **draft report** in English which must include, but is not limited to the following sections:
  - a. Summary;
  - b. Background;
  - c. Objectives;
  - d. Survey Methodology(to include project/survey locations, sampling design and sample size; questionnaire design and development; training; field work; data entry and processing; data analysis; limitations to the study);
  - e. Results presented in narrative and tables/graphs showing clearly prevalence estimates for child labor among the selected population with standard errors, coefficients of variation, and 95% confidence intervals;
  - f. Conclusions and Recommendations;
  - g. Annexes (to include references, questionnaire, etc);
11. Two printed copies and an electronic of the **final report** in English which takes into consideration input, feedback and comments on the draft report.

OCFT also has example Terms of Reference (TORs) available for procuring baseline and follow-up or endline surveys.

## 12. Human Subjects Study Requirements

If the host country has an Institutional Review Board requirement, projects must gain approval for the baseline and follow-up or endline survey studies, and this time must be built into the project's workplan. If the baseline/follow-up contractor has an institutional IRB, this approval should be a part of the baseline/follow-up process, as well.

The baseline/follow-up contractor should have staff trained in the protection of human subjects during research, and **proposals or bids from sub-contractors for the baseline should include a plan for the protection of human subjects.** Adult and child interviews should be non-invasive and all answers must be kept confidential. The baseline/follow-up implementer should also have a written plan for dealing with cases of labor or child abuse identified in the survey population. The surveyors or enumerators should be trained in how to cope with cases of abuse, including the Commercial Sexual Exploitation of Children where potentially relevant, as well as adverse events and problems as part of the interviewer training sessions.

Survey participants should not be paid for participation in the surveys. Participation in the research should be voluntary and confidential.

Consent and assent forms must be used, and the contents of consent/assent forms will be explained verbally before the start of the interview. A printed copy must be available. No child under 18 years of age will be interviewed without both caregiver and child agreeing to the child being interviewed. Caregivers will sign the consent form. Assent will be obtained verbally from children and recorded by the surveyors. Literate children will also sign the assent form. The surveyor will explain to the child in simple language the general purpose of the research, the contents of the interview, and the interviewing process. It will also be explained to the child that participation is voluntary and confidential and that he/she may interrupt or discontinue the interview at any time. He/she may also skip questions or entire sections of the interview. The child may choose not to participate in the research even if the child's caregiver agrees to the child being interviewed. It will finally be explained that the child's responses will not be shared with any other person in the community, including the caregiver, at any point of time.

The research teams will record names and some geographic information including the name and location of the village/settlement, as well as contact information of relatives or neighbors. This will support higher response rates during the follow-up or endline survey, and allow monitoring of the quality of the collected information. All identifying information will be kept confidential. Data files will only be shared after all identifying indicators have been removed. Data files that are publicly released will be cleared by USDOL following an approved data release policy and procedure.

### **13. Are any resources available to help Grantees design and implement the baseline?**

Yes. See the International Labor Organization's [website](http://www.ilo.org/ipecc/ChildlabourstatisticsSIMPOC/lang--en/index.htm)<sup>21</sup> for resources, including sample child labor questionnaires and data collection guidance manuals that may be adapted for local contexts. In addition, the creation of the project's CMEP will assist Grantees in developing and refining indicators and survey questions, and where applicable, sampling methodologies. OCFT has example Terms of Reference (TORs) available for procuring baseline and follow-up or endline surveys, and grantees may contact OCFT project managers to request technical assistance from the OCFT Monitoring and Evaluation team at any time.

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<sup>21</sup> <http://www.ilo.org/ipecc/ChildlabourstatisticsSIMPOC/lang--en/index.htm>