



BUREAU OF INTERNATIONAL LABOR AFFAIRS
UNITED STATES DEPARTMENT OF LABOR



MONITORING AND EVALUATION RESOURCE GUIDE FOR OCFT PROJECTS

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Office of Child Labor, Forced Labor, and Human Trafficking
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OCFT Acronym List

<u>Acronym</u>	<u>Term</u>
FAQ	Frequently Asked Questions
FOA	Funding Opportunity Announcement
GOR	Grants Officer Representative
ILAB	Bureau of International Labor Affairs
M&E	Monitoring & Evaluation
MPG	Management Procedures and Guidelines
OCFT	Office of Child Labor, Forced Labor, and Human Trafficking
OTC	Outcome
OTP	Output
PMP	Performance Monitoring Plan
POC	Point of Contact
PM	Project Manager
RBM	Results Based Management
TPR	Technical Progress Report
USDOL	United States Department of Labor

1. Introduction

This Monitoring and Evaluation Resource Guide is intended for prospective and current USDOL Office of Child Labor, Forced Labor, and Human Trafficking (OCFT) cooperative agreement award recipients (Recipient). It introduces OCFT monitoring and evaluation (M&E) concepts and requirements, provides answers to frequently asked questions, and contains resources such as the Companion Guide to OCFT's Standard Indicators and M&E Plan templates. It serves as a reference and complements the additional resources that OCFT provides during project start-up.

2. OCFT M&E Concepts

This section discusses OCFT's preferred M&E terminology and describes the concepts associated with those terms. An understanding of these concepts and terms is key to the development of the components of a project's Monitoring and Evaluation Plan (M&E Plan, previously referred to as the Comprehensive Monitoring and Evaluation or CMEP), a core requirement for most OCFT-funded projects. (Please see Annex 5 for definitions of key M&E related terms used in this guide.) **The M&E Plan is a tool, grounded in results-based management, to integrate and guide the process of monitoring, evaluating, and reporting on project progress toward achieving intended outcomes. It is a resource for evidence-based project management and implementation, learning, decision-making, and mid-course project corrections.**

OCFT utilizes a Results-Based Management (RBM) approach to project design, monitoring, and evaluation.¹ The concepts and terminology described in this guide will help orient recipients, partners, and stakeholders to the M&E framework used throughout the M&E Plan development and implementation process and throughout the project life cycle. OCFT recognizes other approaches to project design, monitoring and evaluation, including complexity aware and adaptive management monitoring. Although OCFT does not require the use of these approaches, recipients are encouraged to consider these and other approaches and to discuss with OCFT whether elements of these approaches could complement the RBM approach.

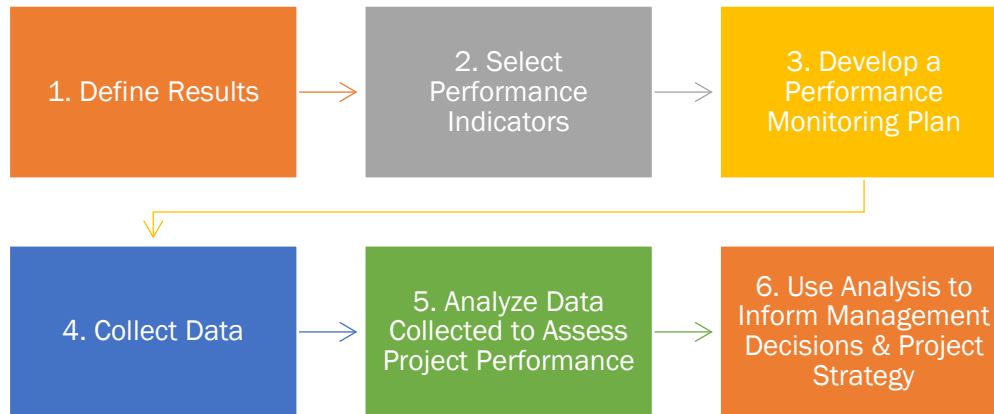
2.1. What is Results-Based Management (RBM)?

Results-based project design is based on a theory of change. We do not merely care about what we do (activities), but also about what we achieve (results) and whether the evidence (metrics) for those results is accurate and reliable. Results are at the center of project design, implementation, and management. Results data provide evidence that managers can use to assess performance, validate the project design, learn, and improve.

The RBM framework used by OCFT employs 6 steps:²

¹ For a series of training videos on Results-Based Management produced by OCFT, please see [Training Materials | U.S. Department of Labor \(dol.gov\)](#).

² The RBM diagram above and examples below were provided to OCFT through a contract with Management Systems International (MSI).



Results and Results Terminology: In line with the first of these 6 steps (Define Results), OCFT requires projects to develop a visual “Results Framework” which is included in the revised Project document package³ and used as the foundation for the M&E Plan.

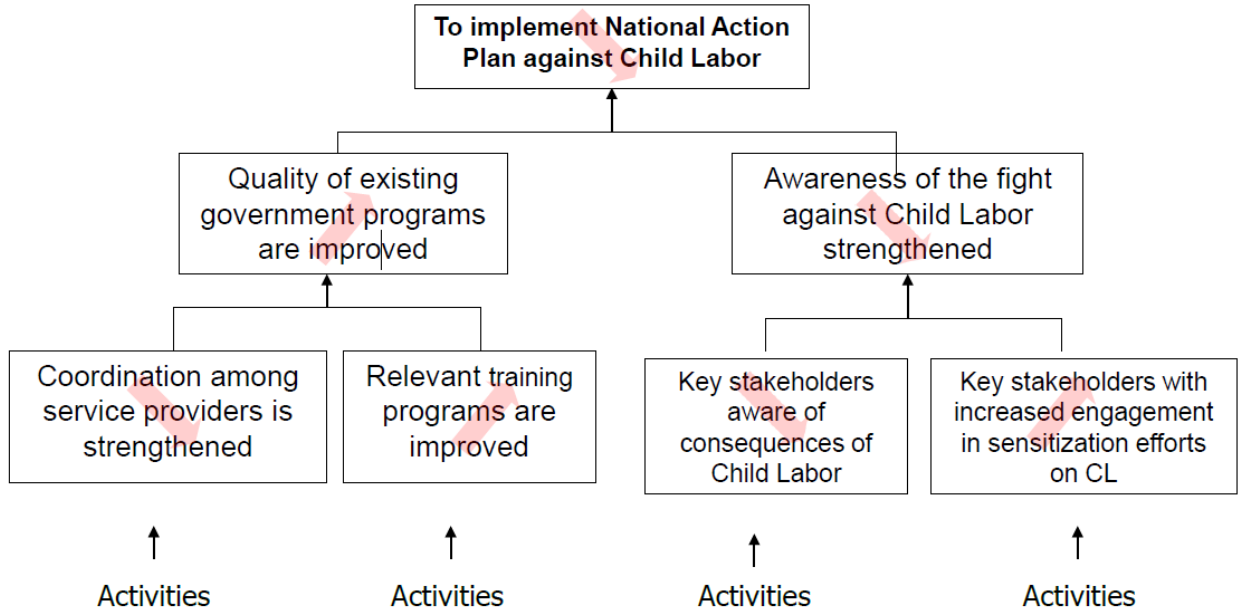
2.2. What is a Results Framework?

A **Results Framework** defines results through a visual depiction of a theory of change (i.e., the casual linkages) for achieving a development objective or goal. It provides a “cause and effect” explanation for outcomes that will contribute to achieving the project objective. This step clarifies “if...then” relationships between results and creates a high level of management value.

By developing a results framework, recipients can align their project activities and outputs to results to specific outcomes and sub outcomes. It is a *time-bound* (e.g. project duration) representation of the *highest level of achievement* that OCFT and the implementer believe the project *can achieve or substantially influence* with its resources. It also includes critical assumptions that must hold for the project to succeed but are beyond the control of the implementer and USDOL.

USDOL requires a description of a project’s theory of change to be submitted as part of its proposal package (technical proposal) in most cases. USDOL requires the visual results framework to be submitted with the Project document package. The final visual results framework represents a validated theory of change through consultations with key project stakeholders. We provide an example below, as well as a suggested format for your project’s results framework in Annex 1. In the illustration below, red arrows indicate whether performance is above or below expectations. In a well-constructed results framework, performance under a lower-level result should affect performance against a higher-level result.

³ For information on the Project document package, please see USDOL’s Management Procedures and Guidelines (MPGs), which can be found online at [Grants & Contracts | U.S. Department of Labor \(dol.gov\)](https://www.dol.gov/grants-contracts).



Well-Developed Results Frameworks:

- Are based on **research and analysis**⁴
- Have well-designed **results statements**
- Reflect sound **causal thinking**
- Identify the **critical assumptions, the external conditions** that must hold for the project to achieve its outcomes
- Depict a **project that can be implemented and achieve desired outcomes and impact within the specified timeframe**

Results Frameworks have four basic building blocks, similar to logical frameworks, which, taken sequentially, should represent causal thinking in the project’s theory of change. The terminology used in these building blocks includes:

Level of Results	Description
Project Objective (PO)	Most ambitious result for which project is willing to be held accountable
Outcome and Sub-Outcomes (OTCs)	Changes in conditions, behaviors, attitudes, practices, skills, etc. that lead to the project objective being achieved
Outputs (OTPs)	Goods/products/services produced as an immediate result of project activity
Activities	The set of actions taken by a project.

⁴ Research and analysis on how best to address the problem identified in the Funding Opportunity Announcement (FOA) should be done prior to submitting proposals. OCFT proposals should reflect evidence-based theory of change strategies whenever possible.

Results Frameworks require well-designed Results Statements. Results statements describe what will have been achieved, not what process we will undertake or complete. OCFT uses results statements for outputs, outcomes, and for the overall project objective and/or development goal.

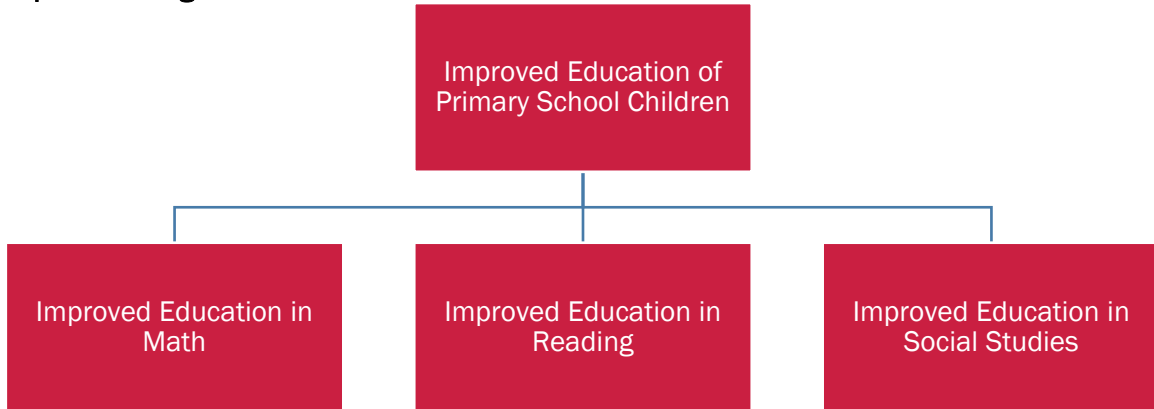
Characteristics of a Well-Designed Results Statement	Element	Good Example	Bad Example
Uni-dimensional	They have one element per result statement, unless the elements are closely related and both are supported by what comes below in the RF.	Two separate objectives: (1) New child labor policies and regulations adopted and (2) Capacity of government ministry of labor strengthened.	New child labor policies and regulations adopted and capacity of ministry of labor strengthened
Uni-level	There are no “if-then” statements embedded in a single objective. Avoid these words: “through...,” “in order to...,” “as a result of...,” “so as to...” etc.	Two separate objectives: (1) Improved student performance and, at a “lower” level (2) More effective classroom instruction.	Improved student performance through more effective classroom instruction
Precise	They clearly articulate the intended by the result. Results statements must be precise when using words like “capacity,” “enhanced,” “legal environment” etc.	Improved skills of Ministry of Labor (MoL) policy analysts Improved MoL services delivered to an increased number of targeted workers	Improved capacity of MoL
Measurable and objectively verifiable	Can be measured with quantitative or qualitative data so success is clearly understood	Increased access to local government officials by community members Increased responsiveness of local government officials New child labor laws adopted	Improved leadership by local government officials (the term “leadership” is subjective and difficult to measure). Promote the adoption of new child labor laws. The adoption of new child labor laws promoted.

Common Pitfalls to Avoid:

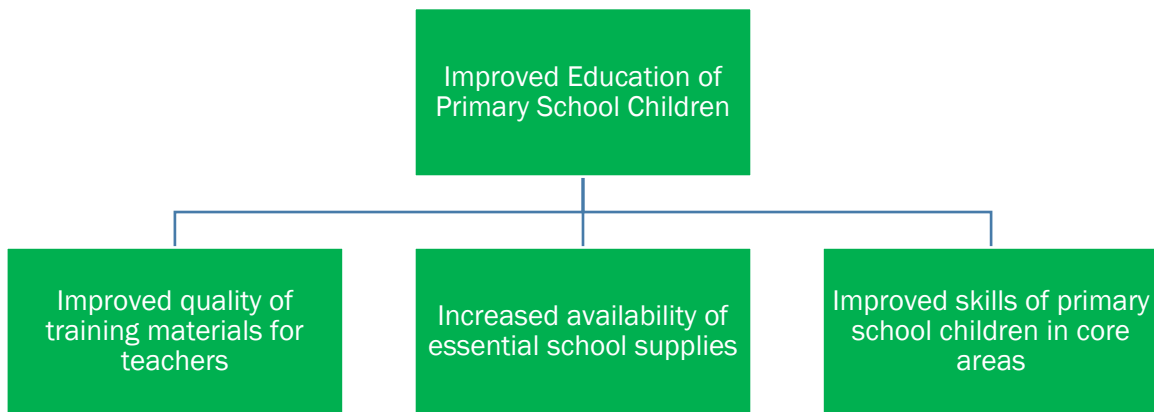
- **Categorical Results:** When creating Results Frameworks and Outcome Statements, watch out for *Categorical Results*. These are results that re-define the primary

outcome. Ask: “Are the sub-outcomes merely re-defining or re-stating the primary outcome?” The example below is a categorical results tree.

Example of Categorical Results to Avoid



Example of Non-Categorical Results



2.3. Activities vs. Results

Beware of confusing *interventions* with their desired *end-result*. The example below highlights the difference between an activity and a result.

Activity	Result
Training	Increased skills
Institutional development	Improved services
Awareness-raising	Better informed target group
Expert technical assistance	Improved policy and regulatory framework

2.4. Measuring Results with Performance Indicators

Performance indicators must meet a set of criteria to be useful in RBM. They should be DOAP: **Direct, Objective, Adequate, and Practical**.⁵ The figure below illustrates these criteria:

<p>DIRECT - Clearly and directly measures the intended result. An indicator can only be a direct measure of one result.</p>	
<p style="text-align: center;">Example <i>Result: Increased use of improved teaching methods</i></p>	
<p>Possible Indicators:</p> <ul style="list-style-type: none"> • Literacy rates for primary school students (Too High Level) • Number of teachers trained (Too Low Level) • Percent of teachers observed using all 5 new teaching methods (Direct) 	
<p>OBJECTIVE - Indicators should be clear and unambiguous about what is being measured and how.</p>	
<p style="text-align: center;">Example <i>Result: Improved child labor laws</i></p>	
<p>Possible Indicators:</p> <ul style="list-style-type: none"> • Number of quality child labor laws (Ambiguous) • Number of national and local child labor laws that meet international labor standards (Objective) 	
<p>ADEQUATE - Taken as a group, there is a sufficient number of indicators to understand whether progress toward a result is being made and whether management action is needed. Not more and not less than what is sufficient.</p>	
<p style="text-align: center;">EXAMPLE <i>Result: Improved implementation of labor rights and protection regulations and guidance by private sector actors</i></p>	
<p>Too Many</p>	<p>Just Enough</p>
<ul style="list-style-type: none"> • # of businesses who drafted new labor right regulations • % of businesses who have adopted and implemented new regulations • % of businesses who have adopted national and/or international labor rights guidance • % of businesses who plan to implement new regulations or guidance • % of businesses who have formed new partnerships related to labor rights 	<ul style="list-style-type: none"> • % of businesses who have adopted and implemented new regulations • % of businesses who have adopted national and/or international labor rights guidance

⁵ Another common acronym used to test whether an indicator is sound is SMART or SMARTER. **SMART** indicators are: **S**pecific, **M**easurable, **A**chievable, **R**elevant, and **T**ime-bound. Some indicator development guides will also use the acronym **SMARTER** - where the "E" stands for *Evaluated*, and the "R" stands for *Reviewed*.

PRACTICAL - The data is either currently available or collectable at an affordable cost. Data should be available at a useful frequency and should be timely enough to influence management decision making.

EXAMPLE

Result: Decreased incidences of child labor

Indicator: Number of child labor incidences

Data Sources:

- National Labor Statistics (Every 10 years) => **Impractical**
- Project survey, CSO or community or local government data (monthly, semi-annually, annually) => **Practical**

Indicators are variables. In addition to using the DOAP criteria, projects should ensure that their indicators are **neutral and unidimensional (measuring one idea)**. Indicators should not be positive or negative.

Example 1

NOT THIS: % **decrease** in children engaged in child labor.

Here, the word “decrease” is not neutral. It assumes a positive outcome (a decrease in prevalence) and will not be able to give an accurate snapshot of the situation over time.

BUT THIS: % children engaged in child labor.

Here, we will be able to chart change over time, and capture an accurate depiction of the situation, whether the outcome is positive (a decrease in child labor) or negative (and increase in child labor).

Example 2

NOT THIS: % Individuals that demonstrate **increased** knowledge of **child rights and gender equality**

Here, we see that the word, “increased” is not neutral. It is a less accurate calculation and removes a portion of the numerator/population to be assessed. It is a less accurate representation of change. We also see that this indicator attempts to measure more than one concept at a time; further diminishing the ability to capture accurate change over time.

BUT THIS: % Individuals that demonstrate knowledge of child rights.

AND THIS: % Individuals that demonstrate knowledge of gender equality.

Here, we have separated the concepts being measured, and removed the assumption of an ‘increase’ in the indicator wording. These indicators are now neutral, directly measuring change.

3. Developing Your Project M&E plan – Frequently Asked Questions

The following FAQs lay out OCFT requirements in regard to project M&E.

3.1. What is the M&E Plan?

The M&E Plan is a tool, grounded in results-based management, to integrate and guide the process of monitoring, evaluating, and reporting on project progress toward achieving intended outcomes. It is a resource for evidence-based project management and implementation, learning, decision-making, and mid-course project corrections.

The development of the M&E Plan is one component of a project's start-up activities. The M&E Plan should reflect the project design contained in the technical proposal as well as incorporate any adjustments resulting from the project design validation process. It helps ensure that recipients, their partners, and USDOL are in agreement on the project's envisioned outcomes and how they will be achieved, measured, and documented. **While USDOL engages closely with recipients in the development of the M&E Plan, the Recipient has primary ownership of the development and implementation of the plan.**

3.2. Why is the M&E Plan important?

- **Tool to Track Progress and Share Project Results:** The M&E Plan is more than an M&E deliverable required by OCFT; it is a tool for projects to measure and track project progress. The M&E plan consists of a series of elements that enable project implementers and partners to track (and share) progress made toward the achievement of a project objective and provides evidence of the link between different levels of results, including activities, outputs, outcomes, and to a limited extent, impact.
- **Recognized Good Practice for Engaging Stakeholders:** The M&E Plan is an important tool for stimulating discussion among recipients and their partners about program objectives, expected results, and how to monitor progress.⁶ Independent evaluators found that articulating activities, outputs, and results to public and private stakeholders helps to find common ground for stakeholders to work together.⁷ This evidence suggests that engagement around an M&E Plan is a key driver of successful project implementation and sustainability. The development of a M&E Plan provides an early opportunity for recipients to include stakeholders in project design and start-up, build buy-in for project activities, promote equity and inclusion, and enhance ownership of project results by external stakeholders.
- **Recognized Good Practice for Identifying Areas of Improvement:** The M&E Plan enables prompt identification of implementation shortcomings and adoption of corrective measures,⁸ thereby providing a unique opportunity for learning, adapting, and maximizing project resources.

⁶ OCFT Synthesis Report, 2019.

⁷ Interim Evaluation of the Pilares Project, 2020.

⁸ Final Evaluation of Paraguay Okakuaa Project, 2020.

3.3. What are the required components of the M&E Plan?

All project M&E Plans must include five components: a visual results framework, an activity mapping, a Project Monitoring Plan (PMP), a Data Reporting Form, and a Child Labor or Forced Labor Definitions Form. For projects that provide direct services, Recipients must also develop eligibility criteria for inclusion in the Project document.

3.3.1. Results Framework

The visual results framework is a required component of the Recipient's Project document package. USDOL expects the visual results framework to be developed during the Stakeholder Engagement and Strategy Validation phase at the beginning of the project based on the narrative theory of change from the project technical proposal. (Please see the USDOL Management Procedures and Guidelines (MPGs) for relevant deadlines for submission of the Project document package.) A copy of the results framework should also be submitted as an annex to the Project document.⁹ Recipients are encouraged to utilize OCFT's suggested formats, found in the annexes to this Resource guide, for their results framework and other M&E Plan components. However, recipients can adapt and add to these documents at their discretion. During the Stakeholder Engagement and Strategy Validation phase, recipients may wish to consult the research resources provided in Annex 11.

3.3.2. Activity Mapping

An activity mapping document lists the activities the project plans to carry out, organized by outcome and output. Activity mapping aligns the planned project activities with associated results and ensures the project's theory of change has a sufficient set of planned activities. If a project utilizes the activity mapping suggested format, the activities listed should be detailed enough to support the "if...then" cause and effect statements made in the results framework. While activities do not need to be fully defined during the project strategy refinement stage, they should be detailed enough that a reader can understand what the project is doing, who they are doing it with, and which results the activities support.

OCFT considers an activity mapping document to be distinct from a work plan, at least at the initial stages of project design, since its primary purpose is to enable recipients to think through the logical linkages between activities, outputs and outcomes (results) rather than to think through the execution of activities over the life of the project. USDOL requires the recipient to submit the activity mapping as an annex in the Project document package. Please see Annex 2 for a suggested format.

⁹ USDOL requires the RF to be included in the body of the Project document because this situates the RF as an integral part of the project design and strategy. Including a copy of the RF as an annex to the Project document, on the other hand, ensures that it is also situated as part of the project's M&E plan, since all other M&E plan documents will be annexes to the Project document. This also provides for a simpler process for refining the project's RF (and the rest of the M&E plan) if USDOL and the recipient determine that changes are needed to the M&E Plan during the life of the project.

3.3.3. Performance Monitoring Plan

The Performance Monitoring Plan (PMP) identifies “what” will be monitored and evaluated during the life of the project and “how” this will be done. It identifies and organizes appropriate qualitative and quantitative indicators that will be used to monitor and measure progress at the Objective, Outcome, and, when appropriate, Output levels. The purpose of the PMP is to state and define these indicators and to describe the processes by which data will be collected. For each indicator, the PMP includes the following elements: indicator language, unit of measurement, key definitions, numerator/denominator (if needed) and classification type according to the type of accumulation required for reporting on the indicator. For each indicator, the PMP also requires projects to list disaggregation(s), the data collection and monitoring tool(s) used for each indicator, the frequency of data collection, verification, and the responsible parties associated with data collection and verification efforts.¹⁰

Projects will use the PMP as a management tool, ensuring that project staff and project partners collect data that meet all data quality requirements: validity, reliability, timeliness, precision, and integrity, and that these data are used to inform managerial decisions and make implementation adjustments. The recipient is required to include a first draft PMP as an annex with the Project document. Projects are encouraged to use the suggested PMP format in Annex 3.

3.3.4. Data Reporting Form

Recipients are also required to submit a Data Reporting Form as part of the project’s M&E Plan. Once the PMP is finalized, recipients will input their performance indicators, including any relevant OCFT standard indicators, into the Data Reporting Form. In this form, every performance indicator will have a baseline value and target values, the latter of which are reported depending on the frequency of reporting outlined in the PMP. Any disaggregations included in the PMP should also be reflected as separate rows in the Data Reporting Form.

Recipients are responsible for inputting all formulas and calculations into the Data Reporting Form for their indicators. For example, if an indicator is a percentage, the Data Reporting Form should include the formula for calculating the percentage value (numerator/denominator) for the cell. For cumulative indicators, the formula should pull the previous period’s value + current period value to show the cumulative value. OCFT staff will review all calculations and formulas.

OCFT will not approve the Data Reporting Form until the Recipient has established baseline values and calculation formulas for all performance indicators. The Data Reporting Form may take additional time to finalize particularly if additional studies are required to establish baseline values and targets.

¹⁰ These elements, as well as targets and baseline values (that will be reported in the project’s reporting form or Annex A), are aligned with U.S. Government requirements related to Sec. 3(b) of the Foreign Aid Transparency and Accountability Act of 2016 (FATAA).

The recipient is required to include a first draft Data Reporting Form as an annex with the Project document package. The final, approved Data Reporting Form with project performance data must be submitted as Annex A of the Technical Progress Report. Please see Annex 4 of this document for the USDOL's suggested template for the Data Reporting Form.

3.3.5. Child Labor or Forced Labor Definitions Form

USDOL expects most projects implementing in-country activities relating to child labor or forced labor to develop definitions of these concepts for use in the project. Project and country-specific definitions help ensure the project and its partners are aligned in their understanding on these concepts as they undertake project interventions and engagements. See Annex 7 for specific guidance on developing definitions of child labor and forced labor.

3.4. How do we develop our Results Framework?

The Results Framework should be developed based on the problem statement, narrative theory of change, and intended results included in a project's proposal package. During the Stakeholder Engagement and Strategy Validation stage, Recipients will have the opportunity to refine their problem analysis and conduct consultations with a broad and inclusive array of stakeholders, while still maintaining the scope of work required in the USDOL FOA. During the validation of the Results Framework, OCFT and the Recipient will determine whether there are any gaps in the theory of change which would require revisions or additions of outcomes and/or sub-outcomes. OCFT will also work with the Recipient to ensure that results are worded in a way that is uni-dimensional, uni-level, precise and measurable and objectively verifiable.

Please see Annex 1 for the suggested format for the visual Results Framework.

3.5. How do we develop indicators? Do we need to develop an indicator for each result?

OCFT requires recipients to develop **performance indicators** for Project Objectives, Project Outcomes and Sub-outcomes. Recipients are generally NOT required to develop indicators for project outputs, except in cases in which outputs align with USDOL standard indicators. Otherwise, recipients should develop indicators at the Output level when the project believes these will be useful and informative for the particular project. Indicators for deliverable-based results are discouraged. For more information on USDOL standard indicators, please see the Companion Guide in Annex 6. Projects will be required to report on all standard indicators that are relevant to their project strategy.

3.6. Who owns the M&E plan?

The M&E plan is a set of tools designed by the Recipient for the Recipient. While USDOL engages closely with recipients in the development of the M&E Plan, the Recipient has ownership of the development and implementation of the M&E Plan as well as updates to the M&E Plan as needed. USDOL provides feedback to ensure that the Recipient's plan for monitoring and evaluating federal assistance adheres to the tenets of results-based management and meets USDOL's reporting requirements.

Recipients are encouraged to budget for and deliver trainings to all team members on the M&E Plan, including roles and responsibilities for its implementation, data quality assurance, and data analysis.

3.7. When I worked on a previous USDOL-funded project, you required CMEP workshops. Are CMEP workshops still a requirement?

No, USDOL no longer requires a CMEP or CMEP workshops. USDOL now requires recipients to budget for a project validation workshop or workshops. These workshops can be large or small but should involve relevant stakeholders to validate the project's revised Results Framework and Activity mapping during the project validation phase. The OCFT Grants Officer Representative, M&E POC and Recipient key personnel should work together during project start-up to determine what this process should look like for a project. This change from previous years is designed to address recommendations from independent evaluators to streamline CMEP development and decrease the amount of time and resources required to finalize the project strategy validation process.

3.8. How does the Annex A - Data Reporting Form relate to the M&E Plan and the PMP?

The Annex A of the Technical Progress Report (TPR) is the same form as the Data Reporting Form discussed above in Section 3.3.4. While the Data Reporting Form that is populated with baseline and target values is considered part of the project's M&E Plan, the form also serves as the spreadsheet recipients submit semi-annually with their TPR to report on their performance indicators in the PMP.

3.9. How is the M&E Plan developed?

The following steps and activities provide an idea of what takes place during project start-up and M&E plan development. **Please note the M&E plan development for each project will look different, depending on each project's unique circumstances such as scope, funding amount, duration, and prior USDOL experience.** The steps below are illustrative and the content and order may be adapted by the OCFT Grants Officer Representative and M&E Point of Contact in coordination with the Recipient as needed.¹¹

¹¹ Items marked with **\$** typically necessitate a dedicated budget line item. USDOL FOAs stipulate the minimum percentage of direct costs that projects must set aside for M&E activities (excluding staffing-related costs) and may also stipulate other set-aside funding amounts for certain M&E activities (such as evaluations).



3.10. Are there any special considerations for projects providing direct services?

Yes. While all Recipients must include information in the Project document package explaining the project’s targeting of particular geographies, populations, institutions, and other relevant entities, projects implementing direct service components must develop specific criteria for determining participant eligibility and selection. In these cases, projects will use these criteria to determine what individuals will receive education, livelihood, and other direct services

(including linkages/referrals), or capacity building trainings. These criteria should be based on the project child labor and/or forced labor definitions developed, and on training curriculum as relevant. The criteria should also consider factors such as geographic areas of focus, common risk factors, and criteria relevant to the nature of the service. Recipients must also incorporate gender/racial/ethnic equity and inclusion considerations into their selection criteria to ensure that historically marginalized or excluded groups are provided equitable access to project interventions. Selection criteria for participants (children and adults) receiving direct services (including linkages/referrals) may be refined in consultation with OCFT using baseline research, if applicable. OCFT will provide guidance to recipients on a case-by-case basis to develop these criteria.

In addition, the scope and budget for baseline activities on projects providing direct services will likely be more extensive and require a higher budget allotment than baseline activities conducted for non-direct service projects. Specifically:

- **Recipients must incorporate several OCFT standard indicators into their PMP to capture service-related results.** For more information on OCFT's standard indicators, please review Annex 6: Companion Guide to the OCFT Standard Indicators.
- **Recipients must develop a data collection system to track the work status and service-related outcomes of participants in direct services activities.** As applicable, this includes whether participants in direct services are in a situation of child labor, forced labor or have experienced other work-place violations, as relevant to the project design and FOA requirements. At a minimum, work status must be determined for participants in direct services at the beginning and end of the provision of the services. More information on developing a data collection system is in Annex 9.
- **Screening and intake data collection instruments must be approved by OCFT prior to the intake of children and adults** (and any provision of direct services). Recipients can begin scoping efforts to identify communities for service provision prior to the approval of the data collection instruments.

3.11. Do recipients need M&E Plan approval prior to implementing project activities?

Generally, recipients may begin project activities once OCFT approves the Project document package that includes the revised Results Framework, the Activity Mapping Annex, draft PMP and draft Data Reporting Form. The PMP does not have to be approved for activities to begin. However, project activities requiring intake/data collection to determine baseline status/values should not begin providing services before OCFT approves the instrument and the Recipient administers it. In all cases, projects should discuss these expectations with their GOR and M&E POC.

Examples:

- Recipients providing education services to children must receive OCFT approval for their initial eligibility screening and intake data collection instruments and administer the data collection with their initial cohort before providing education services.

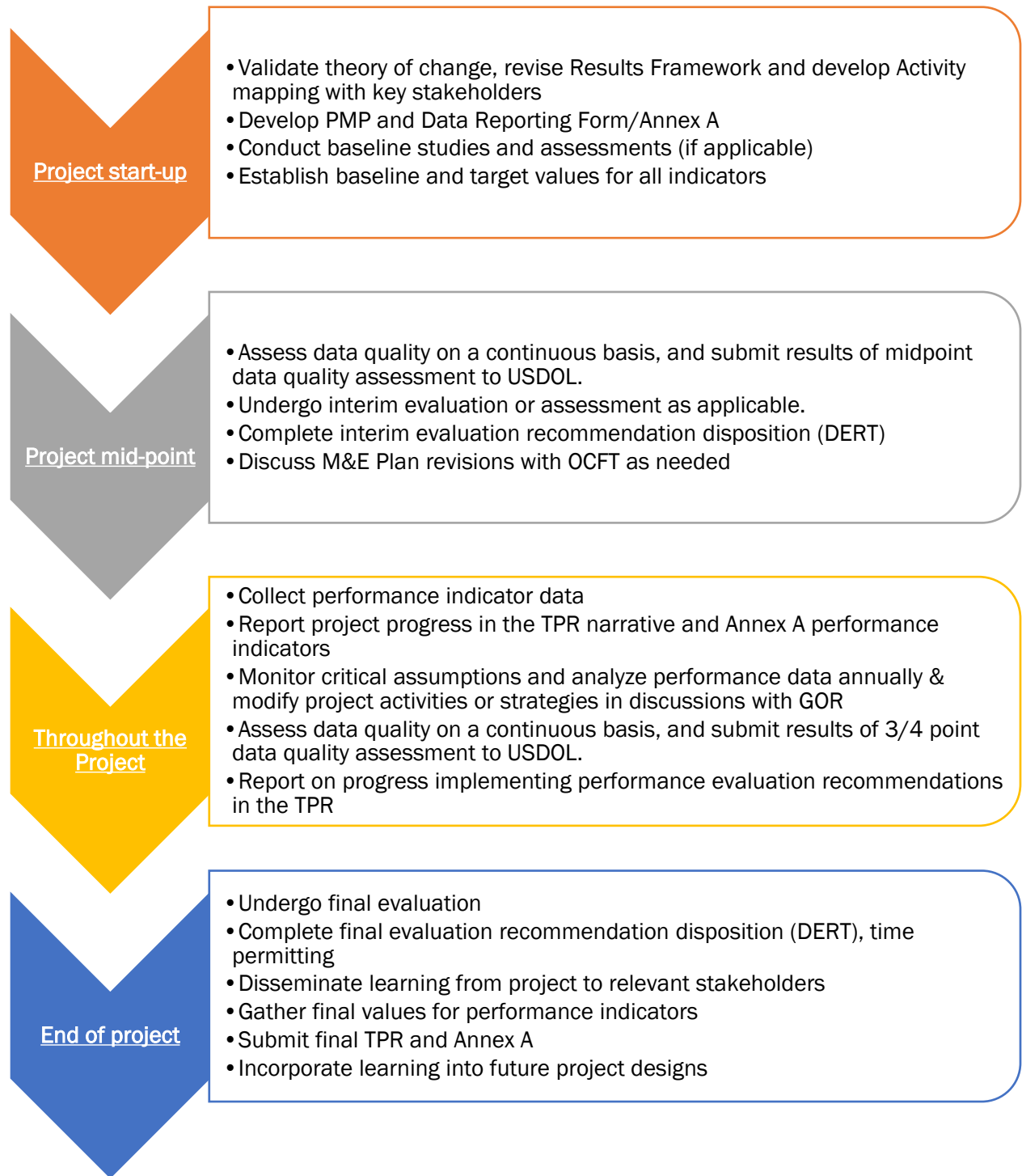
- Projects conducting training and implementing pre-post knowledge assessments need OCFT approval of the pre-post assessment form prior to providing the training.

3.12. Besides the development of the M&E Plan, what other M&E activities take place throughout the project and when do they take place?

OCFT expects recipients to maintain high levels of data quality and to implement procedures necessary to ensure such quality. While these quality assessment procedures should be carried out on a continuous basis, OCFT requires recipients to conduct and submit to OCFT the results of a data quality assessment on a selection of indicators as determined through agreement between OCFT and the Recipient by the project midpoint and again at 75 percent completion of its period of performance (or at different intervals as determined by OCFT). At least some of the indicators reviewed should be outcome indicators. Recipients may wish to use the Routine Data Quality Assessment form at [Annex 10](#) for this purpose.

OCFT likewise expects recipients to analyze performance data to determine whether the project is meeting its goals and to make adjustments, as appropriate. To ensure recipients are using data for this purpose, OCFT requires recipients to conduct **a monitoring data analysis** at least annually after the M&E Plan is completed. The results of the first data analysis exercise must be submitted to OCFT. If the recipient wishes to make changes to project activities or strategies based on this analysis, the project should then discuss proposed changes with the GOR to determine if a formal project modification is appropriate.

This diagram shows the various M&E activities, including data quality assessment and monitoring data analysis that typically take place during the life of the project, from project start-up to the project's mid-point to the end of the project lifecycle. The activities listed below are illustrative and may be adapted by the OCFT Grants Officer Representative and M&E Point of Contact in coordination with the Recipient as needed.



3.13. How are the M&E Plan and M&E Systems implemented?¹²

The following M&E-related activities may be conducted throughout the life of the project. This is a sample and not an exhaustive list:

- Recipient implements studies to inform baseline values, targets, and project strategy and interventions which may include, but are not limited to, Knowledge, Attitudes, and Perceptions (KAP) studies, Institutional Studies, etc. \$
- Recipient trains project and sub-Recipient staff on the M&E Plan, including the use of data collection instruments, and translates M&E materials into local languages as needed. \$
- Recipient conducts data collection for all performance indicators in the PMP based on the required frequency and reports on all indicators in the TPRs. \$
- Recipient collects data on participant child/forced labor work and education status and livelihood characteristics at intake and exit per the requirements outlined in the FOA and Companion Guide to OCFT Standard Indicators (Annex 6) and reports results in the TPRs. \$
- Recipient conducts monitoring of direct service participants at the frequency of monitoring as defined in the award documents and reports the results in the TPRs. \$
- Recipient conducts validation and verification activities in line with the data quality assurance procedures outlined in the PMP. Recipient conducts data quality assessment on indicators as required by USDOL.
- Recipient utilizes data collected on performance indicators to conduct analysis and inform project strategy as required by USDOL,
- Recipient uses data collected on performance indicators to share project progress with external stakeholders as needed.
- Recipient undergoes at least one independent performance evaluation during the life of the project and covers support costs from their M&E budget as needed. \$
- Recipient works with OCFT to complete the Decentralized Evaluation Recommendation Tracker (DERT) for any recommendations identified in the evaluation reports.
- Recipient follows up on agreed upon recommendations in TPRs.
- Recipient revises Results Framework, Activities Mapping, PMP, and Annex A as needed during the life of the project. Any changes must be discussed with and approved by USDOL.

¹² Items marked with \$ typically necessitate a dedicated budget line item. USDOL FOAs stipulate the minimum percentage of direct costs that projects must set aside for M&E activities (excluding staffing-related costs) and may also stipulate other set-aside funding amounts for certain M&E activities (such as evaluations).

3.14. Can the M&E Plan be updated?

M&E Plans are living documents and will likely need modification during the life of the project. Projects may submit Results framework, Activities mapping, PMP and/or Annex A revision requests to the GOR and M&E POC during the life of the project. Any changes to these elements must **be approved** by the ILAB GOR and M&E POC.

Note: Project modifications are good opportunities to update an M&E plan to reflect any shift in the project approach and/or priorities.

4. ANNEXES

Annex 1: Results Framework Suggested Format

Attached is the suggested format for a Results Framework that projects may use during PMP development.

[Click here to access the document.](#)

Annex 2: Activities Mapping Suggested Format

Attached is the suggested format for an Activities Mapping that projects may use during PMP development.

[Click here to access the document.](#)

Annex 3: Performance Monitoring Plan (PMP) Suggested Format

Attached is the suggested format for a Performance Monitoring Plan.

[Click here to access the document.](#)

Annex 4: Annex A of TPR Suggested Format

Attached is the suggested format for the Data Reporting Form that OCFT requires to be submitted as Annex A of the Technical Progress Report.

[Click here to access the spreadsheet.](#)

Annex 5: Key Terms

- **Activities:** Activities are the building blocks that lead to outputs and outcomes that, in turn, comprise projects.
- **Child Labor:** This includes employment below the minimum age as established in national legislation (excluding permissible light work) and the worst forms of child labor, including hazardous unpaid household services. Child labor is thus a narrower concept than children in employment, as child labor excludes children who work only a few hours a week in permitted light work and those who are above the minimum age who engage in work not classified as a worst form of child labor. 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. Recipients are responsible for developing project-level definitions of child labor (see [Annex 5](#) below for more information about developing these definitions).
- **Children at high-risk of entering child labor:** This 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). Recipients reporting on standard indicator E1 are responsible for developing project-level definitions of children at high-risk of entering child labor since they must report E1 results disaggregated by whether children are at high-risk or in child labor.
- **Direct services:** Interventions that include educational, livelihood, and other services, such as psycho-social support and legal aid, provided by the project that can be directly matched to an individual child or adult household member. Provision of direct services may entail linkages/referrals. See the [Companion Guide](#) in this document for additional detail on direct services definitions and requirements.
- **Direct participants:** Individuals who receive or received direct services (including linkages/referrals to other entities) from the project using project funds. Individuals who receive direct services from entities who benefited from project-funded capacity building support are not considered direct participants in the project, unless these entities use project funds to offer these direct services.
- **Evaluation:** Evaluation means, with respect to a covered United States foreign assistance program, the systematic collection and analysis of information about the characteristics and outcomes of the program, including projects conducted under such program, as a basis for—
 - making judgments and evaluations regarding the program;

- improving program effectiveness; and
 - informing decisions about current and future programming.
- **Forced labor:** Under international standards (ILO Conventions 105, and 29, and the 2014 Optional Protocol to Convention 29 on Forced Labor), this is defined as all work or service for which the worker does not offer himself voluntarily and which is exacted from any person under the menace of any penalty for its non-performance. Forced labor includes work provided or obtained by force, fraud, or coercion, including (a) by threat of serious harm to, or physical restraint against, any person; (b) by means of any scheme, plan, or pattern intended to cause the person to believe that, if the person did not perform such labor or services, that person or another person would suffer serious harm or physical restraint; or (c) by means of the abuse or threatened abuse of law or the legal process. Forced labor occurs during unfree recruitment, work or life under duress, or the inability to leave the employer. Recipients implementing country-based forced labor-related projects are responsible for developing project-level definitions of forced labor.
- **Forced child labor:** This is a categorical worst form of child labor under ILO C. 182. Children older than the minimum age for work are in forced child labor if work is involuntary and the children or their parents are under the menace of threat or penalty. For children younger than the minimum age, voluntariness does not need to be established because children cannot legally consent to work. All children who are made to work because of parental forced labor are engaged in forced child labor.
- **Fundamental Principles and Rights at Work:** Under international standards (the ILO Declaration on Fundamental Principles and Rights at Work (FPRW), adopted in 1998 and amended in 2022), this is defined as: freedom of association and the effective recognition of the right to collective bargaining, the elimination of all forms of forced or compulsory labor, the effective abolition of child labor, the elimination of discrimination in respect of employment and occupation, and a safe and healthy working environment. Recipients implementing projects involving child labor and forced labor are responsible for developing project-level definitions of these terms. Projects involving FPRW besides child labor and forced labor may wish to develop project-level definitions of relevant terms in their PMP.
- **Household:** All persons—related family members and all unrelated persons—who occupy a housing unit and have no other usual address.
- **Monitoring:** Performance monitoring is the ongoing and systematic tracking of data relating to project activities, outputs, or outcomes and used to determine whether desired results are occurring and whether implementation is on track. Monitoring often relies on indicators, quantifiable measures of a characteristic or condition of people, institutions, systems, or processes that may change over time.
- **Outcome:** The higher-level results or effects achieved by project activities, typically in the medium-term or long-term timeframe of the project.
- **Output:** The direct result of a project activity, or the goods, products or services produced by the implementation of an activity.
- **Participants:** Individuals and households that have been provided with direct educational, livelihood, or other relevant services; including linkages/referrals.
- **Program:** Programs represent a group of projects managed together to gain efficiencies on cost, time, technology, etc. ILAB manages foreign assistance projects through two offices: (1) the Office of Child Labor, Forced Labor and Human Trafficking; and (2) the

Office of Trade and Labor Affairs. Project-level evaluation results are used to inform other projects within these programs.

- **Project:** A project is a set of complementary activities, over an established timeline and budget, intended to achieve a discrete result. In ILAB, foreign assistance projects are typically carried out through cooperative agreements. ILAB's MPGs state that monitoring and evaluation requirements apply at the project level.
- **Project Objective:** The highest-level result for which projects, and project partners, will be held accountable.
- **Trafficking in Persons (TIP):** TIP is defined using the Protocol to Prevent, Suppress and Punish Trafficking in Persons Especially Women and Children ([Palermo Protocol](#)):
 - (a) "Trafficking in persons" shall mean the recruitment, transportation, transfer, harbouring, 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. Exploitation shall include, at a minimum, the exploitation of the prostitution of others or other forms of sexual exploitation, forced labour or services, slavery, or practices similar to slavery, servitude or the removal of organs;
 - (b) The consent of a victim of trafficking in persons to the intended exploitation set forth in subparagraph (a) of this article shall be irrelevant where any of the means set forth in subparagraph (a) have been used;
 - (c) The recruitment, transportation, transfer, harbouring, or receipt of a child for the purpose of exploitation shall be considered "trafficking in persons" even if this does not involve any of the means set forth in subparagraph (a) of this article;
 - (d) "Child" shall mean any person under eighteen years of age.

Annex 6: Companion Guide to the OCFT Standard Indicators

1. Overview

To collect comparable information related to outputs and outcomes of its technical assistance recipients, the Office of Child Labor, Forced Labor, and Human Trafficking (OCFT), Bureau of International Labor Affairs (ILAB) has developed a set of standard indicators. All OCFT-funded recipients are required to measure and report on the OCFT standard indicators, as applicable. Taken together, these indicators broadly measure contributions and outcomes of OCFT recipients as part of international efforts to combat child labor, forced labor, or other violations of workers’ rights. OCFT aggregates and uses standard indicator data to report on program achievements and communicate the broader impacts of its technical assistance projects.

2. Expectations of Recipients

Recipients are expected to work with their OCFT Monitoring and Evaluation point of contact (M&E POC) and Grants Officer Representative (GOR) to identify relevant OCFT standard indicators and the data collection instruments necessary to gather and analyze data needed to report on the indicators. In addition, recipients are required to gather and report data on strategy-specific indicators tailored to the project’s theory of change. These strategy-specific indicators, along with the relevant OCFT standard indicators, are described in the project’s Performance Monitoring Plan (PMP) table. Recipients are required to report results against indicator targets in their semi-annual Technical Progress Report, [Annex A \(Data Reporting Form\)](#).

Dealing with Attrition in Service Provision and Trainings: Direct service and long-term training programs will experience attrition. This may be due to myriad reasons, such as children or adults moving away, dropping out, changing jobs, and/or a combination of these reasons and others. Recipients are required to document some characteristics of attrition in the TPR Annex A, either in the column for narrative descriptions of data or a pre-established row of “attrition”. Recipients will need to consider attrition-related data when calculating some performance indicators (education, livelihood, other services, and longer training programs for ministry personnel/private sector personnel, etc. as appropriate). Additional aspects and characteristics of attrition should be addressed through the PMP development process in consultation with the Recipient’s M&E POC so that they constructively inform project strategy and management throughout the life of the project.

3. Standard Indicator Reference Information

The OCFT standard indicators and the type of recipients that typically report on them are as follows:

Indicator	Project Type
C1. Number (#) of countries with increased capacity to address child labor, forced labor, trafficking in persons, or other violations of workers’ rights	Most recipients
POC1. Percentage (%) of direct service participant	Recipients providing services to

Indicator	Project Type
children engaged in child labor	children (livelihood, education, or other services)
POC2. Percentage of direct service participant children engaged in <u>hazardous</u> child labor	Recipients providing services to children (livelihood, education, or other services)
POC4. Percentage (%) of direct service participant children who regularly attend school	Recipients providing direct services to children (livelihood, education, or other services)
S1: Percentage (%) of planned sustainability factors achieved.	Most recipients
E1. Number (#) of children engaged in or at high-risk of entering child labor provided an education or training service	Recipients providing education services (including through linkages/referrals)
L6. Number (#) of individuals provided livelihood services	Recipients providing livelihood services (including through linkages/referrals)
T1. Number (#) of <u>individuals</u> provided with training or other support to improve enforcement of, or compliance with child labor, forced labor, or other worker rights laws or policies.	Recipients providing trainings in response to capacity-building needs
T2. Number (#) of educators trained	Recipients providing trainings to educators in response to capacity-building needs
K1: Percentage (%) of training participants demonstrating increased knowledge of principles and practices related to child labor, forced labor, human trafficking, or other violations of workers' rights.	Recipients providing trainings in response to capacity-building needs
CR. Percentage (%) of vocational or other employment-related training participants who complete their program	Recipients providing direct education services and/or implementing workforce development programs
B1: Percentage (%) of training participants demonstrating promoted behaviors related to child labor, forced labor, human trafficking, or other violations of workers' rights.	Recipients providing trainings in response to capacity-building needs
B2: Number/percentage (%) of participating institutions demonstrating promoted practices related to child labor, forced labor, human trafficking practices, or other violations of workers' rights.	Recipients providing trainings in response to capacity-building needs
W1: Percent of individuals employed following participation in USG-assisted workforce development programs	Recipients implementing workforce development programs
W2: Percent of individuals who demonstrate skills following participation in USG-assisted workforce development programs (disaggregated by skill type)	Recipients implementing workforce development programs

Below, we provide detailed information for each standard indicator, including definitions, notes on calculation, targeting, and required disaggregation.

PROJECT OBJECTIVE

C1

Number (#) of countries with increased capacity to address child labor, forced labor, trafficking in persons, or other violations of workers' rights

Description (C1): C1 aims to measure increased country capacity (at the national, regional, local, or sectoral level) to combat child labor, forced labor, trafficking in persons, or other violations of workers' rights. When a project contributes to increased capacity within a country where it implements activities, OCFT will count the achievement and country under C1.

OCFT considers country capacity to have increased when an outcome under the following categories is achieved:

1. Adaptation of legal framework to meet international labor standards;
2. Formulation and adoption of policies, plans, or programs to combat child labor, forced labor, trafficking in persons, or other violations of workers' rights;
3. Inclusion of child labor, forced labor, trafficking in persons, or other violations of workers' rights concerns in relevant development, education, anti-poverty, and other social policies and programs;
4. Establishment of a labor monitoring system;
5. Institutionalization of research relating to child labor, forced labor, trafficking in persons, or other violations of workers' rights (including evaluation and data collection); and
6. Institutionalization of training on child labor, forced labor, trafficking in persons, or other violations of workers' training.

Unit of Measurement: Country level (i.e. national, municipal, sectoral, etc.), number (#)

Indicator Classification: Incremental

When to Count C1: To meet the capacity indicator criteria in any of the areas listed above, a project must have played a **substantive role** in achieving the outcome. 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. Recipients reporting on a capacity outcome (in their TPR) must describe in detail the role of the project in achieving the outcome. In cases where a recipient has more than one project in a single country, and more than one project contributing to a single capacity outcome, the recipient must specify each project's contribution. Additionally, more than one recipient may contribute to a single outcome. The project must explicitly describe the link between the achievement and its potential to reduce child/forced labor, poor working conditions, or other violations of workers' rights. Increased capacity under this indicator will be counted when the **final outcome is achieved** (e.g. child labor policy adopted, legislation amended, etc.) and not at various intermediate stages leading to that outcome. While recipients are encouraged to report in their TPR 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. Further examples of accepted types of outcomes are described in the table below.

1. Recipients may achieve capacity indicator outcomes by working with actors in government, communities, private sector, international organizations, and civil society organizations, including workers' and employers' organizations.
2. Capacity achievements can be on the local, regional, national, and sectoral (e.g., mining, coffee, sugar) levels. For global/regional recipients where capacity was increased in multiple countries, the outcome should be counted for each individual country.
3. Copies of adopted legislation, policy and program documents/agreements must be included as an attachment with the corresponding TPR submission.

Targeting: Recipients must set C1 targets appropriately in their TPR, Annex A, keeping in mind their areas of focus and what is achievable in the life of the project. If C1 targets need revision, TPR Annex A allows for documenting agreed-upon revisions over the life of the project.

Required Disaggregation: By capacity areas A-F listed in the table below.

C1 Disaggregation and Examples of Each Number (#) of Countries with Increased Capacity to Address Child Labor, Forced Labor, Trafficking in Persons, or Other Violations of Workers' Rights
<i>NOTE: The activities under each heading below are illustrative examples and are not intended to be an exhaustive list of possible results.</i>
A. The adaptation of the legal framework to meet international labor standards
<p><u>Achievements in this field could include any of the following:</u></p> <ul style="list-style-type: none"> ▪ Adoption of revised labor code which increases minimum age for work, harmonizing the country's legal framework with international standards ▪ Adoption of new penal code, creating new prohibitions against forced labor and violations of acceptable working conditions ▪ Adoption of local-level ordinances establishing regulations to inspect businesses for child labor ▪ Adaptation of labor code or education laws to address child labor concerns ▪ Adaptation of criminal code to prohibit certain criminal worst forms of child labor (WFCL) and forced labor ▪ Development and adoption of a list of hazardous occupations for children ▪ Adoption of a law prohibiting forced labor ▪ Ratification of ILO Convention 189 on domestic workers ▪ Passage of a Ministerial Resolution to expand labor inspection procedures for the verification of compliance with labor standards

B. Formulation and adoption of specific policies, plans or programs to combat child labor, forced labor, trafficking in persons, or other violations of workers' rights

Achievements in this field could include any of the following:

- The National Steering Committee has adopted a policy, plan, or program on WFCL or forced labor
- The Ministry of Education has adopted a policy on combating child labor within the education system
- Social Partners have formally established a policy or program on WFCL
- Private sector businesses develop a code of conduct to prohibit child labor, forced labor, trafficking in persons and/or other violations of workers' rights (e.g.; tourism association creates code of conduct against child sex tourism)
- Provincial or local government has established a workplace-based training program for youth of legal working age vulnerable to labor exploitation.

C. The inclusion of child labor, forced labor, trafficking in persons, or workers' rights concerns in relevant development, education, anti-poverty, and other social policies and programs

Achievements in this field could include any of the following:

- National or local-level private entities, such as microfinance banks, include child labor reduction as a requirement for loan approval
- Reduction of child labor is included as an indicator in poverty reduction, development, or educational strategies, etc. (e.g., UN Development Assistance Framework, Poverty Reduction Strategy Paper, Education for All, Millennium Development Goals)
- The elimination of child labor, forced labor, or improving working conditions has been included as an explicit objective in government, private sector, and civil society livelihood programs.
- Child laborers have been considered as a priority group in the poverty reduction, development, or educational strategies, etc.
- Ensuring that children go to school and do not work has been set as a condition for families that wish to benefit from social and stipend programs

D. Establishment of a labor monitoring system

To meet this indicator, the labor monitoring system, such as a Child Labor Monitoring System (CLMS), or a related plan is established, and all stakeholders have formally agreed to support the labor monitoring system plan and its implementation.

Achievements in this field could include establishing any of the following systems:

- A comprehensive plan and/or pilot program to develop and establish national, local, or sector-specific labor monitoring system
- Development of a system that enables national or local governments to register adolescent workers into an integrated database to better protect adolescent workers and report cases of labor violations to the Ministry of Labor
- A CLMS covering various forms of child labor at the national or local level in any formal or informal sector, urban or rural

Establishing a CLMS requires 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. 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 hazardous work;
- 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.

E. Institutionalization of research relating to child labor, forced labor, trafficking in persons, or other violations of workers' rights (including evaluation and data collection)

Achievements in this field could include any of the following:

- Government or a social partner 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 research or data collection on one or several specific forms of labor exploitation at the national, regional, or local level
- The collection of data on domestic workers and child domestic workers, and dissemination to stakeholders, including policy makers, about the number and characteristics of domestic workers and employers.
- 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
- A child labor module or forced labor module has been included in a national labor force survey
- Data has been collected for national child labor or forced labor surveys
- A national child labor or forced labor survey report has been published

F. Institutionalization of training on child labor, forced labor, trafficking in persons, or other violations of workers' rights

Achievements in this field could include any of 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
- Forced Labor modules inserted into the regular training curriculum for the national police.
- Annual line item budgetary allocations to implement child labor or forced labor training programs for labor inspectors

Key Definitions Relating to C1:

Increased capacity refers to the enhanced knowledge and/or ability of governments, communities, private sector, international organizations, civil society, or workers' and employers' organizations to effectively achieve goals and develop laws, policies, programs, systems, etc., or implementing the laws, policies, programs, systems, etc. to sustain those achievements.

POC1 and POC2 (POC1) Percentage of direct service participant children engaged in child labor, (POC2) hazardous child labor
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Description: Indicators POC1 and POC2 are outcome measurements of the child labor status of children who have received one or more project-supported education, training, or livelihood service(s). These indicators are considered Project Objective (PO) as they measure a key outcome relating to the project objectives. Recipients must use project-level child labor definitions to determine whether a child is in child labor or hazardous labor. It is important to note that hazardous child labor is a sub-categories of child labor.¹³

Unit of Measurement: individual children, percent (%)

Indicator Classification: Snapshot

When to Count: At a minimum, direct service recipients are required to monitor participants' labor status and report on these indicators at baseline (intake) and endline. A child's initial (baseline) labor status is captured once a project has conducted and verified his/her eligibility screening, prior to beginning the service. Preliminary aggregate baseline values for these indicators should be calculated and reported as new children begin services. The final aggregated baseline value is calculated once the project has finished enrolling children, and all children have begun services.

Numerator: Direct participant children engaged in child labor/hazardous child labor
Denominator: All children provided an education or livelihood service (the unduplicated sum of E1 and L3; on a rolling basis), minus attrition.¹⁴

Targeting: Recipients should set a final life-of-project target, which can be modified (with OCFT consultation) once all children are enrolled and an aggregated baseline value has been calculated.

Required Disaggregation: The only required disaggregation for POC 1 and 2 is by sex. Recipients may decide to disaggregate by other factors, including geographical, if deemed useful.

¹³ In calculation of these indicators, all participant children counted as in hazardous child labor (POC2) should also be counted as in child labor under POC1.

¹⁴ Children who received both education AND livelihood services should not be double counted.

POC4

Percentage of direct services participant children who regularly attend any form of education

Description: Indicator POC4 provides information on children’s participation in education. All direct services projects are required to monitor participants’ formal education status to provide an indication of how education status intersects with children’s other activities, such as child labor. At minimum, projects reporting on this indicator must collect baseline and endline values for its participants.

Unit of Measurement: Individual (child), percent (%).

Indicator Classification: Cumulative

When to Count: If reliable school-attendance data is available, recipients should use this data to determine attendance. If reliable attendance data is not available, the expected methodology for data collection against this indicator is self-reporting. Children and households may self-report their attendance but should not be privy to the project’s definition of “regularly attending” to avoid positivity bias and other reporting measurement errors. Children’s initial (baseline) education status is captured once a project has conducted and verified its eligibility and selection screening, prior to beginning the service.

Numerator: Direct participant children who regularly attend any form of education

Denominator: All children provided an education or livelihood service (the unduplicated sum of E1 and L3; on a rolling basis), minus attrition.¹⁵

Targeting: Recipients should set a final life-of-project target, which can be modified (with OCFT consultation) once all children are enrolled and an aggregated baseline value has been calculated.

Required Disaggregation: Recipients are required to disaggregate by sex and by age. Projects may decide to disaggregate by other factors, including geographical, if deemed useful.

For more detail on the POC indicators, please see the Performance Management Plan sample, which contains information on indicator calculation, definitions, reference periods, etc.

Key Definitions relating to POC4

The definition of **regularly (in terms of attending school regularly)** should be defined by national legislation. If this is not available, the project may define its own threshold for regular attendance (such as 75% or 80%).

¹⁵ Children who received both education AND livelihood services should not be double counted.

SUSTAINABILITY

S1

Percentage (%) of planned sustainability factors achieved.

Description: The number/percentage of sustainability factors the project plans to achieve. This indicator represents a snapshot of a project's progress towards meeting the sustainability factors listed in the ILAB [Sustainability Guide](#). OCFT will work with the Recipient while developing the project PMP to develop which of these factors the project plans to work on and report on as part of this indicator. These factors are assessed at the project level, as determined appropriate in consultation with the ILAB. Factors that are not applicable to the project are not counted for this indicator's denominator.

Sustainability Factors:

1. Are project indicators written to reflect sustainability?
2. Are there plans to ensure cash or in-kind resources to replace resources provided by the project?
3. Is there a strategy to create ownership on the part of key stakeholders, particularly in the public sector?
4. Are there strategies to build the management and technical capacity required for sustainability?
5. Is there a plan to establish critical linkages between partners and project participants and private or public institutions that can provide necessary support?
6. Is there a sufficiently long disengagement process to transfer the responsibility to partners or beneficiaries so they operate independently?
7. Are project activities integrated into existing systems, structures, policies, or laws?
8. Do project activities demonstrate tangible results that partners and beneficiaries can see?
9. Have viable cost recovery approaches been incorporated into project activities, as appropriate?
10. Have partnerships with the private sector or strong civil society organizations been incorporated into project activities?

Unit of Measurement: percent (%) of applicable sustainability factors

Indicator Classification: Snapshot

When to Count: Projects will count fulfillment of a sustainability factor according to the standards set during the PMP development phase of project implementation, in consultation with DOL.

Numerator: The number of sustainability factors the project is fulfilling

Denominator: The total number of planned sustainability factors represented in the

PMP

Targeting: The project will, in consultation with DOL, identify which sustainability factors are applicable to the project and identify how sustainability factors will be assessed. Projects may have project-level indicators used to demonstrate fulfillment of relevant sustainability factors.

Key Definitions relating to S1: See [sustainability guide](#).

EDUCATION

E1

Number (#) of children engaged in or at high-risk of entering child labor provided an education or training service

Description (E1): Indicator E1 is an output indicator and requires recipients to track and record the number of children engaged in or at high-risk of entering child labor who are provided an education or training service through project support. E1 counts the total number of children provided with an education service (of any type) over the course of the project. **Education services** refer to the provision of or linkage/referral to formal and non-formal education services as well as vocational training services, as described below.

Unit of Measurement (E1): Individual (child), number (#)

Indicator Classification: Incremental

When to Count a Child under E1: For the purposes of this indicator, a child should be counted as having been “provided” a service at the point in time when he/she **begins** his/her specific educational/training service (and in the corresponding reporting period in the TPR). A child should **NOT** be counted at the time of enrollment if that is prior to the start of the service. A child may be counted, and thus reported, only once under the E1 indicator during the life of the project, regardless of the number of services he/she receives. For example, if a child receives a non-formal education service and then another educational support service to transition into formal education later, he/she should be counted only once under E1. If linkages/referrals are provided, the project is required to follow-up with those participants to validate whether services were received.

Targeting: Life-of-Project targets for E1 are typically set at the time of award. If this is the case, these life-of-project targets cannot be changed without a formal modification. Any suggested change in E1 life-of-project targets must be discussed with the Grants Officer Representative and M&E POC. TPR Annex A allows for documenting agreed-upon revised targets throughout the life of the project.

Required Disaggregation:

1. **Child Labor Status:** Recipients are required to classify children recorded under E1 as either (1) **engaged in child labor** or (2) **at high risk of entering child labor** (CAHR). To be eligible for education services, a child must fall in one or the other category. This means recipients providing education services must establish eligibility and selection criteria as part of the PMP process. The basis of disaggregation into these two categories is the child’s labor status after a project has conducted and verified its eligibility screening, prior to the beginning the service. In other words, a child engaged in child

labor (based on project-level definitions) at that time should be disaggregated as in child labor when reported under E1. A child at high risk of entering child labor (based on project-level definitions) at that time should be disaggregated as at high risk. This disaggregation enables the project and OCFT to better understand the profile of child participants prior to their start of project services.

2. **Sex**

OCFT also requires recipients to disaggregate children recorded under E1 by sex.

3. **Type of Education**

By type of education: formal, non-formal or vocational

4. **Country**

For multi-country projects, OCFT also requires disaggregation by country.

Key Definitions Relating to E1:

Education Services may include, but are not limited to, the provision of or linkage (including referrals) to formal education services, services that remove barriers to children's access to education, non-formal education services, or vocational training services for children below 18.

LIVELIHOODS

L6

Number of individuals provided a livelihood service

Description (L6): OCFT standard indicator L6 is an output indicator. It requires recipients to track and record the number (#) of individuals who are provided a livelihood service through project support. The individual must be counted only once at the time the first service is provided.

Unit of Measurement (L6): Individual, number (#)

Indicator Classification: Incremental

When to Count an individual under L6: An individual should be counted as having been “provided” a service at the point in time when he/she **begins** his/her specific livelihood service, including referrals and linkages, (and in the corresponding reporting period in the TPR). An individual should **NOT** be counted at the time of enrollment if that is prior to the start of the service. An individual may be counted, and thus reported, only once under the L6 indicator during the life of the project; regardless of the number of services he/she receives.

Targeting: Projects should set L6 targets early in the life of the project, if not during the proposal phase. TPR Annex A allows for documenting agreed-upon revised targets throughout the life of the project.

Required Disaggregation:

1. **Sex:**
Recipients are required to disaggregate by sex.
2. **Adults provided employment services (L2)**
3. **Children provided employment services (L3)**
4. **Adults provided other livelihood services (L5)**
5. **Country:**
For multi-country projects, OCFT also requires disaggregation by country.
6. **Other types of disaggregation are optional.**

Key Definitions Relating to L6:

Livelihood: 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. OCFT child labor elimination recipients 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.¹⁶

Household. 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). Alternatively, recipients may use the predominant definition of household in the country where they operate, which must be approved by OCFT.

Livelihood services may include, but are not limited to, the provision of or linkage/referral to training, employment services, economic strengthening services, entrepreneurship skills, consumption smoothing services, social capital services, and adult education services. Livelihood services include but are not limited to the following categories:

- **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, occupational safety and health training, micro-franchise programs, job placement, apprenticeships, and public works programs. For adults, employment services may also include education and vocational training services (for children, these types of services must be counted as an education service under indicator E1). 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.
- **Employment services for children of legal working age** are the same as for adults, with one exception: if a child is receiving or being linked to vocational training or apprenticeships, this service must be counted under education indicator E1.
- **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. Both adults and children of legal working age may receive economic strengthening services. However, as noted below, children may not receive microcredit/loans. Below are some examples of types of economic strengthening services:
 - **Linkage/ referral to micro-credit or loan programs:** providing target groups with access to financial services via linkages or through a network/association of small-scale finance providers. OCFT-funded recipients must assess and safeguard against possible negative impacts of micro-finance on the livelihoods of participants and the potential of encouraging child labor. Under OCFT-funded

¹⁶ Chambers and Conway, 1992, and Masanjala, 2006, see also http://pdf.usaid.gov/pdf_docs/PNADR399.pdf

- recipients, children under age 18 may not receive any micro-credit/loan services, though they may receive other micro-finance services.
- **Productivity transfers:** 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-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.
 - **Other Livelihood Services** other than employment and economic strengthening include any project-specific interventions that do not fit under the other service-type indicators.

TRAINING

T1

Number (#) of individuals provided with training or other support to improve enforcement of, or compliance with child labor, forced labor, or other worker rights laws or policies.

Description (T1): This output indicator counts capacity-focused training efforts by projects meant to strengthen enforcement and compliance with labor laws or policies. Trainings of this nature are typically provided to labor inspectors, judges, private sector stakeholders, civil society organizations, law enforcement, journalists/other media, or other relevant government personnel.

Unit of Measurement (T1): individual, number (#).

Indicator Classification: Incremental

When to Count: Recipients should count individuals as having received a training when an individual completes a training. Definitions of “completion” should be elaborated in the project’s PMP. Projects should also outline in the PMP whether they will count an individual each time they complete a training or at the time of their first training.

Required Disaggregation: Projects are required to disaggregate this indicator by:

1. Sex
2. Labor law enforcement and/or inspectors, judges, private sector stakeholders, civil society organization staff, journalists/other media, union representatives, or other relevant individuals. These disaggregation categories should parallel recipients’ T1 disaggregations.
3. Other types of disaggregation are optional.

Targeting: Projects may set T1 targets during the PMP development phase of project implementation

T2

Number (#) of educators trained

Description (T2): This output indicator is a count of educators trained; this includes teachers, school principals, school board members, and other relevant learning personnel. Training content may vary based on project strategy, but may include pedagogy, safe and healthy learning environment trainings, administrative trainings such as attendance taking, contextual trainings on child labor, forced labor, occupational safety and health (for vocational training programs), and other labor rights-focused trainings.

Unit of Measurement (T2): Individual level, number (#)

Indicator Classification: Incremental

When to Count: Recipients should count educators (individuals) as having received a training when an individual completes a training. Definitions of “completion” should be elaborated on in the project’s PMP. Individuals under this indicator should not be counted again under T1.

Targeting: Projects may set T2 targets during the PMP development phase of project implementation.

Required Disaggregation: Projects are required to disaggregate this indicator by sex. Other types of disaggregation are optional.

CR Percentage (%) of vocational or other employment-related training participants who complete their program (completion rate)

Description: This outcome indicator reports on the completion rate of project-supported programs such as vocational training programs, life-skills training programs, approved apprenticeships, or other relevant programs. Participants may include both children and adults. For recipients to report against this indicator, the definition of “program” should include the length of time required for an individual to undertake the class/apprenticeship, etc. Additionally, a robust definition of “completion” must be included and defined in a project’s PMP.

Unit of Measurement: individual, percent (%)

Indicator Classification: Cumulative

When to Count: Recipients should determine when to report this data, based on the duration of the training program. Projects reporting on completion rates should use their relevant output service indicator listed in the PMP and Annex A as the denominator in calculating a completion rate.

Targeting: Projects may set CR targets during the PMP development phase of project implementation.

Required Disaggregation: Projects are required to disaggregate this indicator by sex. Other types of disaggregation are optional.

Note on Projects Supporting Workforce Development Activities: This indicator can be adapted to capture the percentage (%) of individuals who complete USG-assisted workforce development programs which OCFT collects for the *U.S. Government Strategy on International Basic Education* (see below). This indicator measures the ratio of all participants in workforce development programs that complete the program. Projects will report on this indicator if they have a significant component designed to provide workforce development program to project participants. Please refer to the CR indicator information above for details on (1) unit of measurement; (2) when to count and (3) targeting.

K1

Percentage (%) of training participants demonstrating increased knowledge of principles and practices related to child labor, forced labor, human trafficking, or other violations of workers' rights.

Description: The number/percentage of the training participants with increased knowledge of promoted principles and practices related to child labor, forced labor, human trafficking, or other violations of workers' rights. This refers to all types of education and training where a participant is issued both a pre-test and a post-test assessing knowledge gain.

Unit of Measurement: Individual, percent (%)

Indicator Classification: Incremental

When to Count: Recipients should count individuals as demonstrating knowledge when a training participant's post-test data after completing a training shows improved knowledge retention compared to pre-test data. Projects should outline in their PMP how they will assess training participants for inclusion in this indicator. If training participants complete multiple post-tests, they are counted if they demonstrate increased knowledge on at least one post-test.

Numerator: Number of training participants who demonstrate increased knowledge through post-test data compared with pre-test data.

Denominator: Number of training participants who were assessed on pre-test and post-test knowledge.

Targeting: Projects may set K1 targets during the PMP development phase of project implementation.

Required Disaggregation: Projects are required to disaggregate this indicator by:

1. Sex
2. Labor law enforcement and/or inspectors, judges, private sector stakeholders, civil society organization staff, journalists/other media, union representatives, or other relevant individuals. These disaggregation categories should parallel recipients' T1 disaggregations.
3. Other types of disaggregation are optional.

B1

Percentage (%) of training participants demonstrating promoted behaviors related to child labor, forced labor, human trafficking, or other violations of workers' rights.

Description: The number/percentage of training participants demonstrating behaviors promoted by project interventions related to child labor, forced labor, human trafficking, or other violations of workers' rights.

Unit of Measurement: Individual, percent (%)

Indicator Classification: Incremental

When to Count: Recipients should count individuals as demonstrating promoted behaviors when a training participant takes actions in line with those promoted by project training activities. This indicator is meant to count a positive change in behavior reflecting promoted behaviors covered in training material. Projects should outline in the PMP how they will assess training participants for inclusion in this indicator.

Numerator: Number of training participants who demonstrate promoted behavior.

Denominator: Total number of training participants.

Targeting: Projects may set B1 targets during the PMP development phase of project implementation.

Required Disaggregation: Projects are required to disaggregate this indicator by:

1. Sex
2. Labor law enforcement and/or inspectors, judges, private sector stakeholders, civil society organization staff, journalists/other media, union representatives, or other relevant individuals. These disaggregation categories should parallel recipients' T1 disaggregations.
3. Other types of disaggregation are optional.

Examples:

Examples of demonstrating promoted behaviors may include:

1. Labor inspectors are able to identify and report cases of child labor or other labor rights violations.
2. Labor inspectors submit reports on child labor and other labor rights violations that meet Ministry of Labor's established quality criteria.
3. Agricultural extensionists report detection of child labor cases after training or other program interventions.
4. Journalists who participated in project trainings or other intervention publish articles that cover issues related to child labor and/or other labor rights violations.
5. Coast guard agents detect and report forced labor cases in commercial fishing vessels at sea after participating in training on this topic.

B2

Number/percentage (%) of participating institutions demonstrating promoted practices related to child labor, forced labor, human trafficking practices, or other violations of workers' rights.

Description: The number/percentage of participating institutions (such as civil society partners, government institutions, private sector companies, unions, etc.) that apply key promoted practices relating to child labor, forced labor, human trafficking, or other violations of workers' rights (such as set organizational procedures, policy targets, data collection, self-evaluation, stakeholder participation, transparency, accountability, etc.).

Unit of Measurement: Individual institutions, percent (%)

Indicator Classification: Incremental

When to Count: Count when a participating institution demonstrates promoted practices.

Numerator: The number of participating institutions that apply promoted practices

Denominator: The total number of institutions that participate within the context of the project's activities, as applicable

Targeting: Projects may set B2 targets during the PMP development phase of project implementation.

Required Disaggregation: None

Examples of demonstrating promoted behaviors may include:

1. Adoption of new organizational procedures, policy targets, data collection practices, etc.
2. New or adapted materials on child labor and adolescent work transferred to governmental agencies and other actors.
3. Awareness campaigns on the importance of eradicating child labor and protecting permitted adolescent work.
4. Improved materials, tools, and methodologies on child labor are adopted by key implementing partners.

WORKFORCE DEVELOPMENT (WFD)

W1

Percentage (%) of individuals employed following participation in workforce development programs

Description: This indicator measures the ratio of workforce development participants who become employed after participating in the programs. Projects will report on this indicator if they are providing livelihood services and such services have a significant component designed to provide workforce skills development programming to project participants.

Unit of Measurement: individual children, adults (if applicable), percent (%)

Indicator Classification: Cumulative

When to Count: An individual counts toward the numerator if (1) the individual participates in the workforce development program, and (2) becomes employed **after** participating in the programs. Since most projects provide workforce development programs to individuals on a rolling basis, Recipients should revise its indicator baseline value in TPR Annex A as the participant pool grows. The final value can be collected at the time the project believes is most appropriate (towards the end of the project) and is reported in the final or next to final TPR.

Numerator: Direct participants employed following participation in workforce development programs provided by the project

Denominator: Total number of direct participants who participate in workforce development programs provided by the project

Required Disaggregation: Projects are required to disaggregate this indicator by sex. Other types of disaggregation are optional.

Targeting: Projects may set W1 targets during the PMP development phase of project implementation.

W2

Percentage (%) of individuals who demonstrate skills following participation in workforce development programs

Description: This indicator measures the ratio of workforce development program participants who demonstrated skills that the programs trained on. Projects will report on this indicator if they are providing livelihood services and such services have a significant component designed to provide workforce skills development programming to project participants.

Unit of Measurement: individual children, adults (if applicable), percent (%)

Indicator Classification: Cumulative

When to Count: An individual counts toward the numerator if (1) the individual enrolls and completes the workforce development program, and (2) demonstrates skills provided by the program. Since most projects enroll individuals in workforce development program on a rolling basis, Recipients should revise its indicator baseline value in TPR Annex A as the participant pool grows. The final value can be collected at the time the project believes is most appropriate (towards the end of the project) and is reported in the final or next to final TPR.

Numerator: Direct participants who demonstrate targeted skills following participation in workforce development programs provided by the project

Denominator: Total number of direct participants who participate in workforce development programs provided by the project

Required Disaggregation: Projects are required to disaggregate this indicator by sex and skill type. Other types of disaggregation are optional.

Disaggregations by skill type should use the following categories:

1. Digital literacy skills
2. Entrepreneurship skills
3. Employability skills
4. Foundational skills for WFD (including literacy and numeracy)
5. Occupational safety/health skills
6. Soft skills
7. Technical and vocational skills

Targeting: Projects may set W2 targets during the PMP development phase of project implementation.

Key Definitions Related to Workforce Development Indicators:

- **Workforce Development Programs** to be defined as programs that support young people and adults in gaining the specific skills and attitudes they need to be productively employed. In the context of OCFT programs, the vocational and employment related programs offered by the project are considered workforce development programs.
- **Employment** to be defined as any work done for any amount of time in the month prior to data collection for which individuals earned or were paid in money or in kind. Employment includes wage employment, own or self-employment, or employment in a family or household enterprise.
- **Completion** to be defined by the Recipient. Such definition must be included and defined in a project's PMP.
- **Demonstration of skills** to be defined by a Recipient that offers workforce development programs.
- **Skills** to be defined by Recipient.

Annex 7: Developing Project-level Child Labor and Forced Labor Definitions

Developing Child Labor Definitions

This document provides guidance in developing project-level definitions of child labor. DOL will ask most projects implementing in-country activities relating to child labor to develop such definitions. The purpose of these definitions is to serve as a basis for common understanding of child labor among project staff and relevant stakeholders, which could be government partners, NGO, private sector, civil society staff, journalists, and others. It is recommended that project staff, including the Project Director and M&E Officer, in coordination with relevant sub-Recipients and stakeholders, review relevant international frameworks and national legislations together and discuss how these are translated to project definitions of child labor. These definitions will provide a solid underpinning for efforts related to monitoring and enforcement of labor laws, revision of national labor and social protection policies and legislation, development of social compliance and monitoring systems, raising awareness about child labor, and any other relevant project activity.

OCFT must review and approve project definitions prior to their use. Recipients should discuss the timeline for developing these definitions with OCFT, including whether they must be completed prior to the start of any situational analyses, KAP surveys, or other project activities. Therefore, OCFT recommends that projects start the development of child labor definitions as soon as possible after project award (see OCFT’s Management Procedures and Guidelines for timelines). Recipients should review this guidance document carefully and contact the relevant OCFT Grants Officer Representative and/or M&E POC with any questions.

Please note that the 20th International Conference of Labor Statisticians adopted a resolution to amend the *18th ICLS Resolution concerning statistics of child labor*.¹⁷ ILO is currently working on developing resources on how Recipients can operationalize this new resolution. Please reach out to OCFT on how to develop project definitions of child labor and related data collection tools.

1) Terms to Define

Using the national and international legal frameworks, projects must develop definitions of the follow terms:

1. Child
2. Legally Working Children.¹⁸
3. Children engaged in Child Labor (CL)

¹⁷ Resolution to amend the 18th ICLS Resolution concerning statistics of child labour
https://www.ilo.org/wcmsp5/groups/public/---dgreports/---stat/documents/meetingdocument/wcms_667558.pdf

¹⁸ Please note the difference between the terms *Working Children* and *Legally Working Children*. *Working Children* includes all children who engage in any economic activities, including both permissible work and child labor. *Legally Working Children* is a subset of *Working Children* and excludes those engaged in child labor. For a project-level definition, *Legally Working Children* should be defined, not *Working Children*.

4. Children engaged in Hazardous Child Labor (HCL)
5. Children engaged in other Worst Forms of Child Labor (oWFCL)

2) Table of National and International Legal Frameworks Relevant to Child Labor Definitions

To create project-level child labor definitions, projects should begin from ILO Convention Nos. 138 on Minimum Age, 182 on Worst Forms of Child Labor, Recommendation 190 on detailing Hazardous Work, and the Convention on the Rights of the Child (and Optional Protocols related to the sale of children, prostitution, and child pornography; and children in armed conflict). The International Conference of Labor Statisticians (ICLS) provides useful resources related to the measurement of child labor. All these legal frameworks and resources are incorporated in Table 1, below.

It is recommended that projects develop a table detailing the relevant international and national legislation, to be used as the basis for project definitions. Table 1, below, which summarizes relevant international legal frameworks, is intended to be the starting point for developing project-level definitions. Projects may use this table as a template or develop their own format. Projects are encouraged to include the exact international legal framework language below and should add in relevant language from national legislation (with clear references to the sources). Projects should also locate and review in detail relevant national legislation and hazardous work lists to develop definitions per the highlighted information at the beginning of each section. Projects may refer to the relevant country report in OCFT's most recent *Findings on the Worst Forms of Child Labor* report¹⁹ to determine if a hazardous work list or other relevant national laws exist. Projects may also use the ILO's NORMLEX database²⁰ to verify the international legislation ratified by countries, and the ILO's NATLEX database²¹ to identify relevant national legislation. The report includes sources specifying where to locate these documents. Projects should also consider using resources from the country's National Statistical Offices during recent National Child Labor Surveys, if available, to understand any major differences between international requirements and existing data, if these differences will be relevant to stakeholder engagement or other project activities. For example, if a recent National Child Labor Survey finds a certain percentage of children engaged in child labor, it would be relevant to know what types of child labor are included in or excluded from that estimate.

We recommend that all definitions first specify the age group to which the legal requirements apply. For example, age 5-12, 13-15, and 16-17 usually have different prohibitions related to child labor.

Review of international and national legal frameworks may reveal gaps in national legislations (e.g., no minimum age for light work) or discrepancies between international conventions and

¹⁹ OCFT, Findings on the Worst Forms of Child Labor. Available at:

<https://www.dol.gov/agencies/ilab/resources/reports/child-labor/findings>

²⁰ ILO NORMLEX is a database showing countries' ratification status of international labor standards, searchable by country. Available at: <http://www.ilo.org/dyn/normlex/en/f?p=1000:11003::NO::>

²¹ ILO NATLEX is a database of national labor social security and related human rights legislation, searchable by country. Available at: http://www.ilo.org/dyn/natlex/natlex4.byCountry?p_lang=en

national legislations (e.g., minimum age for hazardous work under 18). In this case, it is important to assess whether project definitions should be aligned with national or international legislations (or hybrid of both). This discussion should be informed by how project definitions will be used and who would be main target audience. In rare cases, projects may choose to develop two definitions (i.e., one based on national legislations and the other on international frameworks) to address different audiences. For additional guidance, contact the relevant OCFT Grants Officer Representative and/or M&E POC.

Table 1: Child Labor Definitions – National and International Legal Frameworks

Term	Definition
Child	<p>National legal framework: <i>Include here the national legal framework text defining the age of children, with citations.</i></p> <p>International legal framework: Individuals under the age of 18 years.</p>
Legally Working Children	<p>National legal framework: <i>Include here the legal working ages, allowable number of hours, conditions, and time of day for legal work by age, including any national legal framework definitions of legal work for children, which may include the Labor Code, Constitution, and various education laws. For national legal frameworks, each line of text should cite relevant legal documents/sources. Highlight any conflicts between the national and international legal frameworks.</i></p> <p><i>Please note the difference between the terms Working Children and Legally Working Children. Working Children includes all children who engage in any economic activities, including both permissible work and child labor. Legally Working Children is a subset of Working Children and excludes those engaged in child labor.</i></p> <p>International legal framework: Any child engaged in ‘acceptable work’. “Acceptable work,” while not specifically defined in the ILO Conventions, includes 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.</p> <p>In addition, “acceptable work” would generally include light work that is compatible with national minimum age legislation and education laws. Light Work is defined in Article 7 of Convention 138²² as employment or work performed by children age 13 to 15 that is:</p>

²² ILO Convention 138:
http://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO:12100:P12100_ILO_CODE:C138

Term	Definition
	<ul style="list-style-type: none"> • <i>not likely to be harmful to their health or development; and</i> • <i>not such as to prejudice their attendance at school, their participation in vocational orientation or training programs approved by the competent authority or their capacity to benefit from the instruction received.</i> <p>The ICLS recommends that, where no national legislation on light work is available, light work for children should not exceed 14 hours during the referenced week (i.e. 14 hours or more of light work per week for children age 12 – 14 or 13 – 15 should be considered child labor).²³</p>
<p>Children engaged in Child Labor (CL)</p>	<p>National legal framework: <i>Include here the relevant child labor age ranges, with prohibited number of hours, conditions, industries, and time of day by age, including any national legal framework definitions of legal work for children, which may include the Labor Code, Constitution, and various education laws. Projects should also note whether household chores in a child’s own home are considered to be work under the national legal framework. For national legal frameworks, each line of text should cite relevant legal documents/sources.</i></p> <p>International Legal Framework: “Child labor” is defined by a combination of three international conventions and individual countries’ legal frameworks.</p> <p>U.N. Convention on the Rights of the Child (1989)²⁴ (UN CRC) and its Optional Protocols provide an overall framework of human rights for children, including their right to protection from economic exploitation, including hazardous work and specifications related to other worst forms of child labor. (See WFCL definition for more details). Article 32 states: <i>1. States Parties recognize the right of the child to be protected from economic exploitation and from performing any work that is likely to be hazardous or to interfere with the child’s education, or to be harmful to the child’s health or physical, mental, spiritual, moral, or social development.</i></p> <p>ILO Convention 138 on the Minimum Age (1973)²⁵ sets age 15 as the minimum age for ordinary work, age 18 as the minimum age for hazardous work, and age 13 as the minimum age for light work. Developing economies may specify age 14 as the minimum age for ordinary work, per the full convention text.</p>

²³ ILO. *Resolution II: Resolution Concerning Statistics of Child Labor*. ICLS 18th Conference, 2008. pg. 56-66. Available at: http://www.ilo.org/wcmsp5/groups/public/---dgreports/---stat/documents/meetingdocument/wcms_101467.pdf

²⁴ UN Convention on the Rights of the Child:
<http://www.ohchr.org/en/professionalinterest/pages/crc.aspx>

²⁵ ILO Convention 138:
http://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO:12100:P12100_ILO_CODE:C138

Term	Definition
	<p>Much more specific is ILO Convention 182 on the Worst Forms of Child Labor (1999)²⁶, which prohibits the use of children in slavery, commercial sexual exploitation, and other illicit activities (such as drug trafficking), and hazardous work, or “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.” While ILO’s Worst Forms of Child Labor Recommendation, 1999 (No. 190) attempts to further define the Worst Forms, according to Article 4 of Convention 182, countries can define hazardous work in their own context, meaning that there is no single legal definition of child labor that can be used around the world. Taken together, ILO Conventions 182 and 138 and ILO Recommendation 190 provide the definitional basis for the following terms: child labor, worst forms of child labor, and hazardous work for children. See more detail on this term in the WFCL definition below.</p> <p>Child labor is broader than WFCL but a narrower concept than “children in employment” or “working children”, as Child Labor excludes children working legally. Children working legally are children who are working only a few hours a week in permitted light work and those above the minimum age whose work is not classified as a worst form of child labor (WFCL includes hazardous child labor). 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, Article 7. Child labor also includes children under the minimum age for work engaged in economic activities, and children who are engaged in light work beyond the number of hours allowable by law.</p> <p>Household Chores. Household chores, or unpaid household services in a child’s own home, are different than home-based economic activities or domestic service (i.e., working as a domestic servant at someone else’s home). In many contexts, household chores are an important part of children’s daily activities and may affect their development and well-being. However, the International Conference of Labor Statisticians at the ILO cites an analysis of survey data of 65 countries which concluded that “Children’s participation in household chores for over 20 hours per week has a negative effect on children’s school attendance.”²⁷ In the absence of an internationally agreed-upon consensus on how to define the number of hours after which household chores become hazardous, projects should not include long hours in household chores in the definition of child labor unless national legislation provides further guidance, or unless otherwise agreed with project</p>

²⁶ ILO Convention 182:

http://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100_ILO_CODE:C182

²⁷ ILO. *Report III: Report of the Conference*. ICLS 19th Conference, 2013. Pg. 9. Available at:

http://www.ilo.org/wcmsp5/groups/public/---dgreports/---stat/documents/publication/wcms_234124.pdf

Term	Definition
	<p>stakeholders and OCFT. However, household chores or unpaid household services that include hazardous activities or are completed under hazardous conditions, per ILO C. 182, Recommendation 190, and national legislation, should be considered hazardous work. Please see Figure 2 at the end of this document for an example.</p>
<p>Children engaged in Hazardous Child Labor (HCL)</p>	<p>National legal framework: <i>Include here any further national legal framework definitions of hazardous work, which may come from the Labor Code or Hazardous Work List, and may include additional information on hours, conditions, industries, and occupations considered to be hazardous for children under 18. If the country is covered by the USDOL Findings on the Worst Forms of Child Labor report²⁸, this is a great place to start to know what relevant national legal framework exists. For both national and international legal frameworks, each line of text should cite relevant legal documents/sources. Highlight any conflicts between the national and international legal frameworks.</i></p> <p>International Legal Framework: Hazardous Child Labor (HCL) is a subset of the Worst Forms of Child Labor. The international legal framework for ‘hazardous child labor’ stems from Part D of ILO Convention 182²⁹: <i>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.</i></p> <p>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.</p> <p>ILO Recommendation 190³⁰ gives additional guidance on identifying “hazardous work.” Recommendation 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:</p> <ul style="list-style-type: none"> • <i>work which exposes children to physical, psychological, or sexual abuse;</i> • <i>work underground, under water, at dangerous heights or in confined spaces;</i>

²⁸ OCFT, Findings on the Worst Forms of Child Labor. Available at: <https://www.dol.gov/agencies/ilab/resources/reports/child-labor/findings>

²⁹ ILO Convention 182: http://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100_ILO_CODE:C182

³⁰ ILO Recommendation 190: <http://www.ilo.org/public/english/standards/relm/ilc/ilc87/com-chir.htm>

Term	Definition
	<ul style="list-style-type: none"> • <i>work with dangerous machinery, equipment, and tools, or which involves the manual handling or transport of heavy loads;</i> • <i>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;</i> • <i>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.</i> <p>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.”</p> <p>Many countries have developed country-specific Hazardous Work Lists to help further specify what constitutes Hazardous Child Labor, and these lists should be included (or referenced) here.</p>
<p>Children engaged in other Worst Forms of Child Labor (oWFCL) (if applicable)</p>	<p>National legal framework: <i>Include here any further national legal framework definitions of the WFCL (C. 182, part A-C, below) for children, which may come from the Labor Code, Constitution, and Penal Code. For both national and international legal frameworks, each line of text should cite relevant legal documents/sources. Highlight any conflicts between the national and international legal frameworks.</i></p> <p>International Legal Framework: For the project definition, Other Worst Forms of Child Labor (oWFCL) should include Parts (a)-(c) as defined in ILO Convention 182:</p> <ul style="list-style-type: none"> • <i>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;</i> • <i>the use, procuring or offering of a child for prostitution, the production of pornography or for pornographic performances;</i> • <i>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.</i>

Term	Definition
	<p>OCFT defines the Worst Forms of Child Labor using ILO Convention 182³¹, although the UN Convention on the Rights of the Child (UN CRC) also specifically outlines other related protections that may be relevant for some projects, depending on context.</p> <p>The UN Convention on the Rights of the Child³² and Optional Protocols supports ILO Convention 182 related to the use of children in drug production and trafficking (CRC Article 33); the sale or trafficking of children, and the use of children in prostitution and pornography (CRC Articles 34-35 and Optional Protocol³³); and the involvement of children in armed conflict (CRC Article 38 and Optional Protocol³⁴).</p>

3) Optional Visual Conceptual Frameworks for Child Labor Definitions

When communicating the concept of child labor to non-child labor experts, it can be helpful to use a graphic tool to help stakeholders visualize the concept of child labor. These visual conceptual frameworks may be used in communicating the meaning of child labor to stakeholders, project staff, and others. This section includes two examples of a visual conceptual framework. Each project may choose to develop a conceptual visual framework that reflects the definition of child labor which the project plans to use. Where there are differences in the national and international legal frameworks, projects should discuss with OCFT how to develop the most useful definition(s) and thus visual conceptual frameworks; projects do not need to use the exact examples provided below. The OCFT Monitoring and Evaluation Team is available to support the development of these frameworks upon request.

Figure 1: Example Visual Framework - Table Format³⁵

³¹ ILO Convention 182:

http://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100_ILO_CODE:C182

³² UN Convention on the Rights of the Child:

<http://www.ohchr.org/en/professionalinterest/pages/crc.aspx>

³³ Optional Protocol on the Sale of Children, Child Prostitution, and Child Pornography:

<http://www.ohchr.org/EN/ProfessionalInterest/Pages/OPSCCRC.aspx>

³⁴ Optional Protocol on the Involvement of Children in Armed Conflict:

<http://www.ohchr.org/EN/ProfessionalInterest/Pages/OPACCRC.aspx>

³⁵ ILO. *Resolution II: Resolution Concerning Statistics of Child Labor*. ICLS 18th Conference, 2008. pg. 56-66. Available at: http://www.ilo.org/wcmsp5/groups/public/--dgreports/--stat/documents/meetingdocument/wcms_101467.pdf

Please note that the 'light work' concept and age range should not be included in this table for countries where no national legislation exists relating to this concept.

Age group		Children's work and employment				
		(1) Work not designated as hazardous			(2) Worst forms of child labour (WFCL)	
		(1a) Excluded forms of work	(1b) Light work	(1c) Other forms of work not designated as hazardous	(2a) Hazardous work	(2b) WFCL other than hazardous work
Children below minimum age specified for light work	Children aged 5–11 years	Non-economic production (mainly, unpaid household services)			Hazardous work (in industries and occupations designated as hazardous, 43 or more hours per week in industries and occupations not designated as hazardous)	Trafficked children, forced and bonded child labour, commercial sexual exploitation of children, use of children for illicit activities
Children within the age range specified for light work	Children aged 12–14 years	Work not designated as hazardous in activities included in the SNA production boundary performed for <i>less than</i> 14 hours per week				
Children at or above the general minimum working age	Children aged 15–17 years	Work not designated as hazardous in activities included in the SNA production boundary performed for 14 or more hours per week, but <i>less than</i> 43 hours per week				

Figure 2: Example Visual Framework - Flowchart Format³⁶

³⁶ ILO. *Marking Progress Against Child Labor: Global Estimates and trends 200-2012*. Page 47.

Available at:

http://www.ilo.org/wcmsp5/groups/public/@ed_norm/@ipec/documents/publication/wcms_221513.pdf

Figure 22. Conceptual framework of the ILO global estimation of child labour

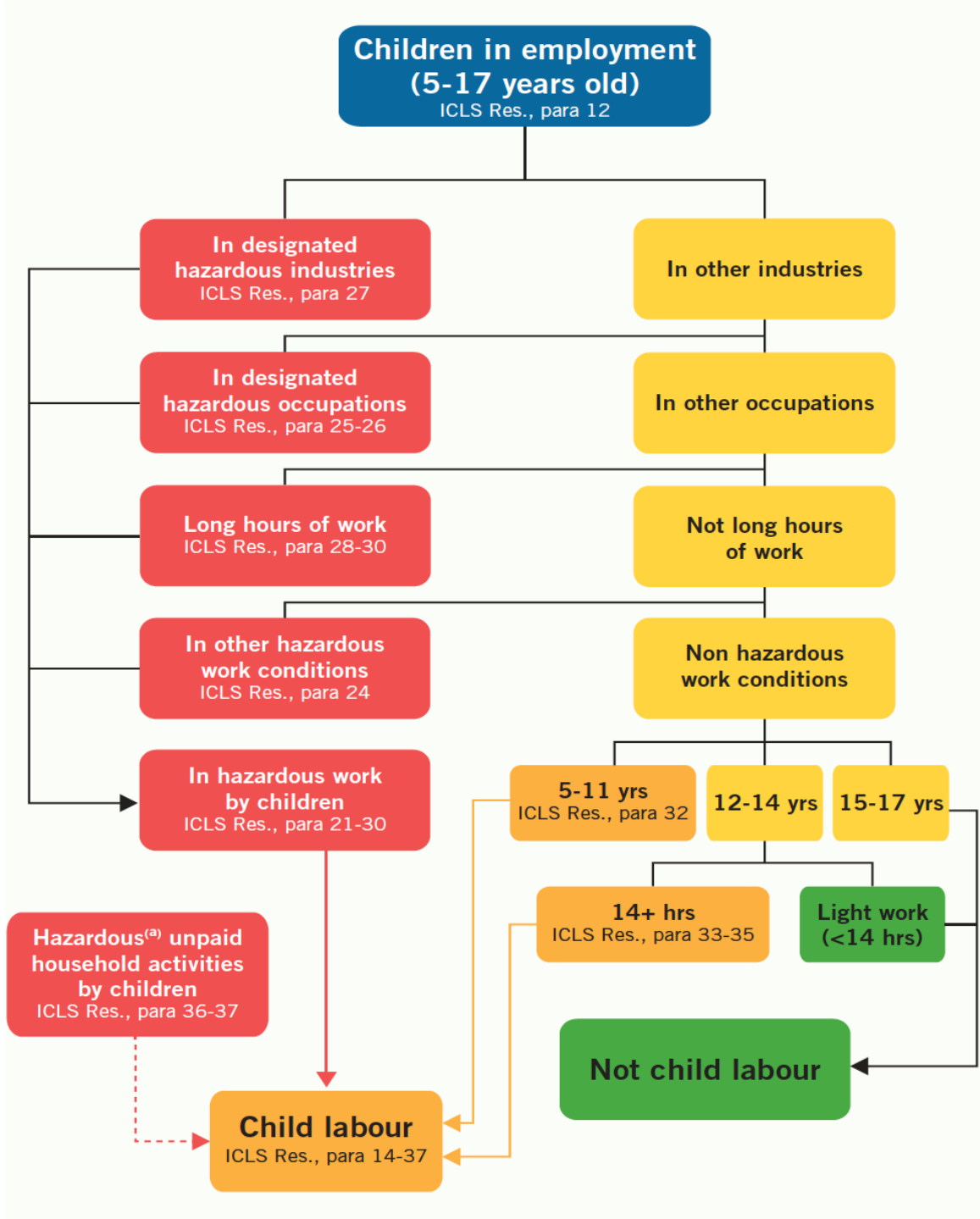
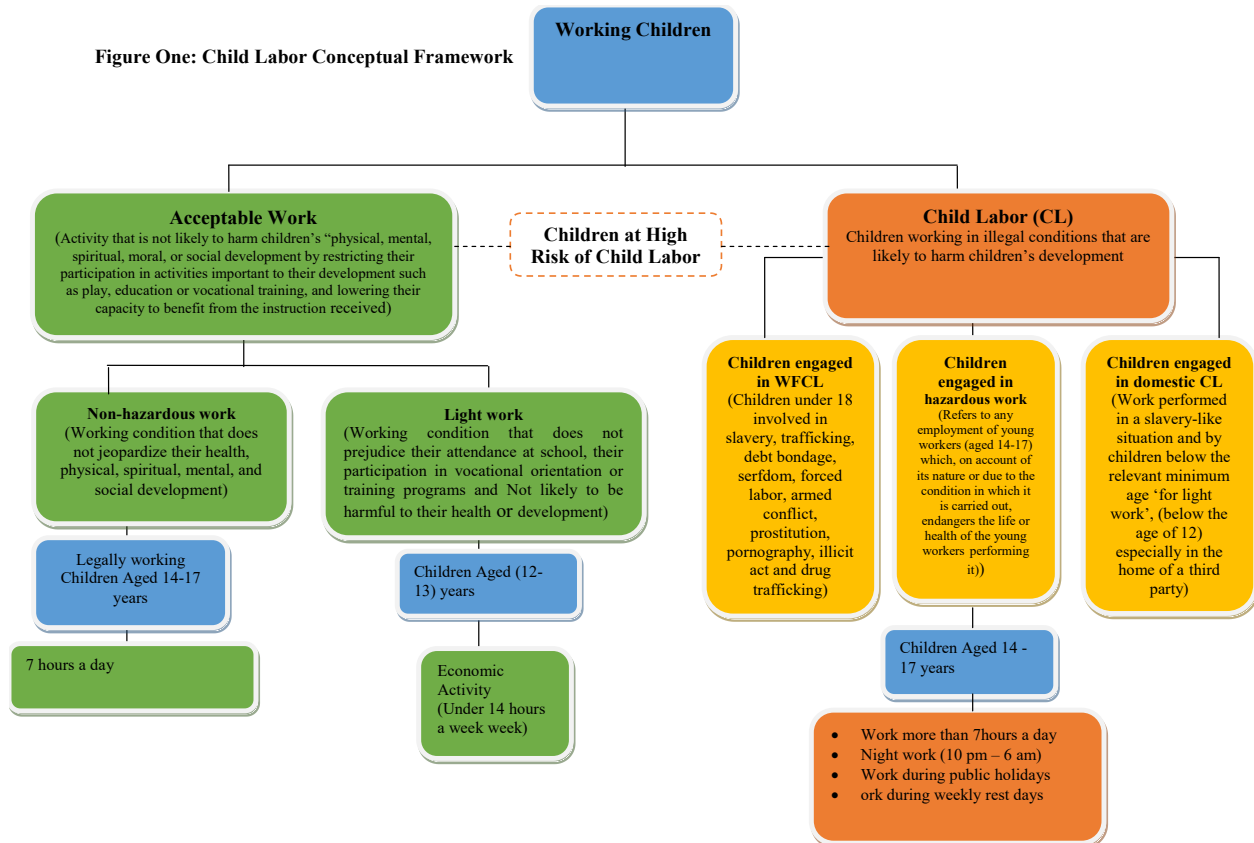


Figure 3: Example Visual Framework Flowchart from an OCFT project in a country with age 14 as the minimum age for work

Figure One: Child Labor Conceptual Framework



Developing Forced Labor Definitions

This document provides guidance in developing project-level definitions of forced labor. DOL will ask most projects implementing in-country activities relating to forced labor to develop such definitions. The purpose of these definitions is to serve as a basis for common understanding of forced labor between project staff and relevant stakeholders, which could be government partners, NGO and civil society staff, journalists, and others. These definitions will provide a solid underpinning for project efforts to advocate for improvement in national labor and social protection legislations or raise awareness about forced labor.

OCFT must review and approve project definitions prior to their use. Recipients should discuss the timeline for developing these definitions with OCFT, including whether they must be completed prior to the start of any situational analyses, KAP surveys, or other project activities. Therefore, OCFT recommends that projects start the development of forced labor definitions as soon as possible after project award (see OCFT's Management Procedures and Guidelines for timelines). Recipients should review this section carefully and contact the relevant OCFT Grants Officer Representative and/or M&E team member with any questions.

Two ILO conventions – 29 and 105 - provide a framework for defining forced labor and formulating legislation and policies to combat forced labor. Protocol 29 of 2014 supports C29, providing guidance on steps countries should take to prevent and eliminate forced labor, provide protection to victims and access to appropriate and effective remedies, and to sanction the perpetrators of forced labor, including trafficking in persons for the purpose of forced labor.³⁷ In addition, two UN Conventions (1926 Slavery Convention, Supplementary 1956 convention), ILO Convention 182 on the Worst Forms of Child Labor (1999), and the UN Protocol to Prevent, Suppress and Punish Trafficking in Persons, especially Women and Children (2000), known as the “Palermo Protocol”, provide definitions of forced labor-related terms and concepts. The U.N. Convention on the Rights of the Child and Optional Protocols related to the sale of children; prostitution and child pornography; and children in armed conflict should also be examined. Links to the text of all these legal frameworks are provided in the table below. Projects may refer to the relevant country report in OCFT's most recent *Findings on the Worst Forms of Child Labor* report³⁸ to see legal frameworks and gaps related to forced labor of children. The report includes sources specifying where to locate these documents. Projects may also use the ILO's NORMLEX database³⁹ to verify the international legislation ratified by countries, and the ILO's NATLEX database⁴⁰ to identify relevant national legislation.

³⁷ ILO Protocol 29 (2014) to the Forced Labor Convention 29 (1930). Available at: http://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100_ILO_CODE:P029

³⁸ OCFT, Findings on the Worst Forms of Child Labor. Available at: <https://www.dol.gov/agencies/ilab/resources/reports/child-labor/findings>

³⁹ ILO NORMLEX is a database showing countries' ratification status of international labor standards, searchable by country. Available at: <http://www.ilo.org/dyn/normlex/en/f?p=1000:11003::NO::>

⁴⁰ ILO NATLEX is a database of national labor social security and related human rights legislation, searchable by country. Available at: http://www.ilo.org/dyn/natlex/natlex4.byCountry?p_lang=en

Based on the above legal frameworks, the ILO previously developed an operational definition and survey guidelines to help measure forced labor, in a publication called “Hard to see, harder to count.”⁴¹ Since this publication, the 20th International Conference of Labor Statisticians issued a new set of guidelines on forced labor measurement.⁴² ILO is currently working on developing resources on how to operationalize the new guideline. Please reach out to OCFT on how to develop project definitions of forced labor and related data collection tools.

Table 1, below, which summarizes relevant international legal frameworks, is intended to be the starting point for developing project-level definitions. Projects may use this table as a template or develop their own format. Projects are encouraged to include the exact international legal framework language below and must add in relevant language from national legislation. Projects should also locate and review relevant national legislation in detail to develop definitions per the highlighted information at the beginning of each section.

Table 1: Forced Labor Definitions – International and National Legal Framework

Term	Definition
Adults and children engaged in Forced Labor	<p>National legal framework: <i>Include here any national legal framework definitions of forced labor of adults and/or children, which may include the Labor Code, Constitution, etc. It should also include definitions of trafficking in persons, including any national legislation addressing “The Act/what was done”, “The Means/how it was done”, and “The Purpose/why it was done” (see Palermo Protocol, below, for more on this). For both national and international legal frameworks, each line of text should cite relevant legal documents/sources. If the country of operations has not ratified a convention listed below, projects should discuss how to move forward with OCFT.</i></p> <p>International legal framework: International Labor Organization (ILO) Convention 29, 1930⁴³, is the most authoritative convention on Forced Labor.</p> <p>ILO C. 29, Article 2, defines ‘forced or compulsory labor’ as:</p>

⁴¹ ILO, Hard to see, harder to count: Survey Guidelines to Estimate Forced Labor of Adults and Children. June 2012. Available at: http://www.ilo.org/global/topics/forced-labour/publications/WCMS_182096/lang-en/index.htm

⁴² ILO Guidelines concerning the measurement of forced labour. October 2018. Available at: https://www.ilo.org/wcmsp5/groups/public/---dgreports/---stat/documents/meetingdocument/wcms_648619.pdf

⁴³ ILO Convention 29:
http://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100_ILO_CODE:C029
 Recipients should be aware of the accompanying Protocol 29. See full text here:
http://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100_ILO_CODE:P029

Term	Definition
	<p><i>All work or service which is exacted from any person under the menace of any penalty and for which the said person has not offered himself voluntarily.</i></p> <p>This definition excludes compulsory military service, ‘normal civic obligations’ of a nation or community, work mandated as a result of a court conviction, and work required in certain emergency situations. These exclusions are not applicable for persons under age 18 (children).</p> <p>ILO C. 29 does not specifically address the forced labor of children, but ILO Convention 182 on Worst Forms of Child Labor Convention, 1999, Section A⁴⁴, names “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”.</p> <p>The UN Convention on the Rights of the Child⁴⁵ and Optional Protocols supports ILO Convention 182 related to the use of children in drug production and trafficking (CRC Article 33); the sale or trafficking of children, and the use of children in prostitution and pornography (CRC Articles 34-35 and Optional Protocol⁴⁶); and the involvement of children in armed conflict (CRC Article 38 and Optional Protocol⁴⁷).</p> <p>International Labor Organization Convention 105, 1957⁴⁸</p> <p>ILO Convention 105 (C. 105), the Abolition of Forced Labor Convention, requires members that ratify C.105 to specifically suppress and not make use of any form of forced or compulsory labor:</p> <ul style="list-style-type: none"> • <i>As a means of political coercion or education or as a punishment for holding or expressing political views ideologically opposed to the established political, social, or economic system;</i>

⁴⁴ ILO Convention 182:

http://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100_ILO_CODE:C182

⁴⁵ UN Convention on the Rights of the Child:

<http://www.ohchr.org/en/professionalinterest/pages/crc.aspx>

⁴⁶ Optional Protocol on the Sale of Children, Child Prostitution, and Child Pornography:

<http://www.ohchr.org/EN/ProfessionalInterest/Pages/OPSCCRC.aspx>

⁴⁷ Optional Protocol on the Involvement of Children in Armed Conflict:

<http://www.ohchr.org/EN/ProfessionalInterest/Pages/OPACCRC.aspx>

⁴⁸ ILO Convention 105, 1957:

http://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO:12100:P12100_ILO_CODE:C105

Term	Definition
	<ul style="list-style-type: none"> • As a method of mobilizing and using labor for purposes of economic development; • As a means of labor discipline; • As a punishment for having participated in strikes; • As a means of racial, social, national, or religious discrimination. <p>The League of Nations Slavery Convention, 1926⁴⁹</p> <p>This convention defines ‘slavery’ as the “status or condition of a person over whom any or all of the powers attaching to the right of ownership are exercised” (Article 1(1)). Although the definition provided in the convention does not mention work, Article 5 requires ratifying countries to take “all necessary measures to prevent compulsory or forced labor from developing into conditions analogous to slavery.”</p> <p>The United Nations Supplemental Convention on Slavery, the Slave Trade, and Institutions and Practices Similar to Slavery, 1956⁵⁰</p> <p>This convention calls for the progressive abolition of ‘debt bondage’ and ‘serfdom’ and other ‘practices related to slavery’:</p> <p><i>Debt bondage, that is to say, the status or condition arising from a pledge by a debtor of his personal services or of those of a person under his control as security for a debt, if the value of those services as reasonably assessed is not applied towards the liquidation of the debt or the length and nature of those services are not respectively limited and defined;</i></p> <p><i>Serfdom, that is to say, the condition or status of a tenant who is by law, custom or agreement bound to live and labor on land belonging to another person and to render some determinate service to such other person, whether for reward or not, and is not free to change his status.</i></p> <p><i>Practices related to slavery, or:</i></p> <p><i>Any institution or practice whereby:</i></p>

⁴⁹ Slavery Convention, 1926:

<http://www.ohchr.org/EN/ProfessionalInterest/Pages/SlaveryConvention.aspx>

⁵⁰ The United Nations Supplemental Convention on Slavery, the Slave Trade, and Institutions and Practices Similar to Slavery, 1956:

<http://www.ohchr.org/EN/ProfessionalInterest/Pages/SupplementaryConventionAbolitionOfSlavery.aspx>

Term	Definition
	<p>- A woman, without the right to refuse, is promised or given in marriage on payment of a consideration in money or in kind to her parents, guardian, family or any other person or group; or</p> <p>- The husband of a woman, his family, or his clan, has the right to transfer her to another person for value received or otherwise; or</p> <p>- A woman on the death of her husband is liable to be inherited by another person;</p> <p>- A child or young person under the age of 18 years, is delivered by either or both of his natural parents or by his guardian to another person, whether for reward or not, with a view to the exploitation of the child or young person or of his labor.</p> <p>Trafficking in Persons</p> <p>The United Nations Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, 2000, or “Palermo Protocol”⁵¹</p> <p>The Palermo Protocol is a supplemental protocol to the United Nations Convention Against Transnational Organized Crime. The Protocol’s definition of trafficking in persons has become a standard model for national legislation:</p> <p><i>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. Exploitation shall include, at a minimum, the exploitation of the prostitution of others or other forms of sexual exploitation, forced labor or services, slavery, or practices similar to slavery, servitude or the removal of organs.</i></p> <p>The UNODC breaks down the protocol’s definition of human trafficking into three elements⁵²:</p> <p><i>The Act</i> (What is done)</p>

⁵¹ The United Nations Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, 2000, or “Palermo Protocol”:

<http://www.ohchr.org/EN/ProfessionalInterest/Pages/ProtocolTraffickingInPersons.aspx>

⁵² See UNODC for more information on this framing, available at:

<https://www.unodc.org/unodc/en/human-trafficking/what-is-human-trafficking.html>

Term	Definition
	<p><i>Recruitment, transportation, transfer, harboring, or receipt of persons</i></p> <p><i>The Means</i> (How it is done) <i>Threat or use of force, coercion, abduction, fraud, deception, abuse of power or vulnerability, or giving payments or benefits to a person in control of the victim</i></p> <p><i>The Purpose</i> (Why it is done) <i>For the purpose of exploitation, which includes exploiting the prostitution of others, sexual exploitation, forced labour, slavery or similar practices and the removal of organs.</i></p> <p>Coercive sexual exploitation and forced prostitution are included in the definitions of forced or compulsory labor.⁵³ The consent of a victim of trafficking to the intended exploitation is irrelevant where any of the means specified above have been used. In the case of a child, there is no need for any of the means cited above to be used; the child is a victim of trafficking if he or she is subject to recruitment, transportation, transfer, harboring, or receipt for the purpose of exploitation.⁵⁴</p>

⁵³ ILO: Eradication of forced labor, General Survey concerning the Forced Labor Convention, 1930 (No.29), and the Abolition of Forced Labor Convention, 1957 (No.105). Geneva. 2007. Available at: http://www.ilo.org/global/meetings-and-events/WCMS_089199/lang-en/index.htm

⁵⁴ ILO, Hard to see, harder to count: Survey Guidelines to Estimate Forced Labor of Adults and Children. June 2012. Available at: http://www.ilo.org/global/topics/forced-labour/publications/WCMS_182096/lang-en/index.htm

Annex 8: Checklist for OCFT-Contracted Evaluations

Disclaimer: This document is intended for OCFT and Recipient informational purposes only and are not expected to be strictly followed. Each evaluation is unique, and the processes may be adjusted to meet the individual needs of the evaluation. The evaluation contracts and Terms of References (TOR) are the authoritative documents for evaluation deliverables.

Step	Action
<i>Contract Kick-off Call</i>	OCFT launches the evaluation task order/call order and lets the contract vendor know pertinent details
<i>Transmit Documents to Vendor & Evaluation Team</i>	OCFT transmits documents to the contract vendor, including TOR template
<i>Evaluation Kick-off Call</i>	OCFT launches the evaluation with the Recipient, so they are aware of the process
<i>Notify Embassy of Upcoming Evaluation</i>	OCFT confirms the timeline with the embassy and invites them to interview/participate in Stakeholder Workshop
<i>Provide Inputs for the Development of Terms of Reference (TOR)</i>	Contract vendor shares first draft of TOR, OCFT completes DOL portion of the TOR template and consolidates evaluation questions. Recipient also provides inputs on evaluation questions and methodology.
<i>Logistics Call</i>	OCFT, Recipient and contract vendor discuss the travel logistics, itinerary, Recipient cost-sharing, and details of the fieldwork
<i>DOL Interview with Evaluator</i>	Evaluator should interview DOL prior to fieldwork.
<i>Finalize TOR; including question matrix and itinerary</i>	Ensure that the Recipient, DOL, and evaluator are all in agreement over the TOR; including the question matrix, and itinerary and have copies of the finalized versions.
<i>Evaluation Fieldwork</i>	The evaluator travels to the field to conduct field work
<i>Stakeholder Workshop</i>	Sometimes OCFT participates remotely in the Stakeholder Workshop
<i>Fieldwork Debrief call with Evaluator</i>	Within a week of returning from fieldwork, the contract vendor should hold a call with DOL to debrief on the fieldwork results. The contract vendor can also conduct a similar call with the Recipient if requested.
<i>Draft 1 – Detailed review of draft evaluation report (2-week review)</i>	This is a detailed review of the report and should review findings, conclusions and make sure the TOR questions were addressed.
<i>Draft 2 - Review revised draft report</i>	This is a review to see the edits to the report after the commenting period.
<i>Finalize Evaluation Report</i>	This is acceptance of the final evaluation report.
<i>Evaluation Report Presentation to ILAB</i>	
<i>Evaluation Recommendation Disposition</i>	This is a joint effort with OCFT to identify which evaluation recommendations are accepted, partially accepted, or rejected, reasons for these determinations, and identify

Step	Action
	specific actions that will be taken to implement accepted and partially accepted recommendations.

What to Look for: Draft 1 – Detailed Review of the Draft Evaluation Report (2-week Draft)

The contract vendor will email the report to OCFT, the Recipient, and other key stakeholders for formal review. OCFT, the Recipient and other key stakeholders will generally have two weeks or ten working days to provide written feedback. Deadlines may be extended depending on the complexity of the project; however, deadlines are often tight and under general circumstances must be adhered to as contractual obligations must be met.

OCFT and the Recipient are not expected to make editorial or grammatical comments to the report. OCFT and Recipient review should focus on substantive comments only as the Vendor will arrange for a formal copy edit of the final report. Comments should fit within the scope of the evaluation and the evaluation TOR. It is not within the scope of work of the evaluator to conduct additional *general* research on child labor or education issues or government policies and programs in particular country unless fully within the scope and purpose of the evaluation.

Technical Review Checklist

- ✓ Review to ensure information presented is factually accurate.
- ✓ Review to see if all questions from the TOR have been answered in the report.
- ✓ Review to see that all components of the TOR have been included.
 - For example, if the TOR included a requirement for a summary chart on indicators, ensure that the chart has been included.
- ✓ Review to see if there are sufficient quality data presented to support findings.
- ✓ Determine if the presentation of findings and conclusions are supported by details.
 - If there are any sections that lack details, request additional support.
 - If there are any sections that are unclear, ask for clarification.
- ✓ Review report recommendations to determine the following:
 - Are the recommendations based on findings and facts?
 - Are the recommendations realistic and feasible, both in terms of quantity and implementation?
 - Are the recommendations clearly stated?
 - Are there multiple recommendations combined into one, necessitating the evaluator to break them out?
 - Are the recommendations actionable by either the Recipient or DOL?

What to Look For: Draft 2 - Review of Revised Report

Once key stakeholder comments have been considered, the contract vendor will submit a revised report to OCFT and the Recipient in addition to a comment matrix that details both the stakeholder comments and the evaluator's response to all comments. ***In general, this is not an opportunity for a second full review of the evaluation report. Reviewers should make every effort to thoroughly review the draft evaluation report during the full stakeholder review as outlined above.*** While there may be circumstances that warrant such a review, depending on

the quality of the first draft of the evaluation report, such determination will be made by the OCFT M&E POC.

Furthermore, to finalize the evaluation report, the contract vendor must respond to all outstanding comments by OCFT. The final report should be free of any spelling, grammatical, or formatting errors, and should include sufficient data to support the findings. After this technical approval, the contract vendor will fully copyedit and format the report for final production.

Checklist Before Finalizing

- ✓ Photos of individuals on the cover page need to have written approval from the subjects. Photos of individuals inside of the report do not need to have written approval from the subjects.
- ✓ Ensure the report has been copy edited and formatted.
- ✓ Ensure the report is 508 compliant (PDF version).
- ✓ Ensure there are two versions of the report – one with PII and one without PII.
 - For these reports, PII is considered village names, individuals' names, and titles. This information is usually contained in an annex in the report.

Evaluation Recommendation Disposition

USDOL's evaluation policy includes an emphasis on applying findings and conclusions to ongoing projects. After the evaluation has been completed, the Project/Recipient will work jointly with OCFT to identify which evaluation recommendations are accepted, partially accepted, or rejected, reasons for these determinations, and identify specific actions that will be taken to implement accepted and partially accepted recommendations. These decisions and discussions are tracked through the Decentralized Evaluation Recommendation Tracker (DERT) and is often referred to as the DERT process. Progress toward implementing the recommendations that are accepted and partially accepted are reported in the semi-annual technical progress reports (TPRs).

Annex 9: What is a Data Collection System?

A well-functioning data collection system is critical for monitoring the success of projects and should be sufficiently budgeted for in the project's M&E budget.⁵⁵ **The data gathered can be used to track direct service delivery to project participants and, most importantly, the project's progress towards the goal of reducing child labor and/or forced labor or other workplace violations.** Using this information, recipients and OCFT may assess the degree to which a project is achieving its service delivery targets and desired higher-level outcomes (e.g., a decrease in child labor rates among participant children). If the project is not performing as expected, this information may be used to inform changes in the project's services and/or approach to achieving its goals.

Data collection and verification of direct participants (and sometimes their households) is a key element in the data collection process. To successfully collect, enter, query, and verify data, Recipients must consider the project's objectives, timeframe, resources, and capacity. Lengthy, costly, and technically detailed data collection activities may not be necessary or useful for some projects.

Data collection and entry methodology is highly reliant on the resources and constraints of the local situation and of the project. Some constraints that may affect the data collection and entry methodology that a project uses may include the project's location, the staff's knowledge of technology, number of children, adults, and/or households served, and available funds. Some examples of data collection modes that OCFT recipients use include paper-based data collection instruments administered via face-to-face interviews and electronic survey instruments administered face-to-face using mobile phones, tablets, and/or computers.

For example, projects in remote areas may only be able to support paper-based, face-to-face surveys because they lack electrical, internet, or mobile connections or are operating in an area with a high crime rate. Recipients should ensure that human/financial resources and security considerations are considered when developing and implementing both paper-based and electronic survey instruments.

OCFT-funded projects have used a variety of approaches to collecting, entering, and querying data to report on the TPR and to assess progress toward achieving objectives. They have used project staff, local volunteers, students, stakeholders, or professional M&E contractors to collect, enter, and query direct participant and household data. The type of data collectors used depends on the local environment, types of information being gathered (i.e., sensitive personal information), and available funding. There are trade-offs to be considered. For example, using a professional survey organization may ensure that the data collector is impartial and acts professionally in the field and provide a certain level of anonymity when speaking with a child participant, adult, or head of household. This type of data collector may

⁵⁵ Projects that provide direct services to children, adults, and households require more funds to track all direct participants relative to research or capacity-building projects.

be particularly helpful for respondents who will feel more comfortable sharing sensitive personal information with a stranger. On the other hand, hiring and offering repeated trainings for professional data collectors is costly, and, in some implementation areas, lack of trust in outsiders could present challenges. Under such circumstances, training local facilitators or other community members who have the trust of participants could be an advantage. However, it is still important for projects to allocate appropriate financial resources when utilizing community members or project facilitators as data collection staff to provide them with adequate data collection, entry, and querying trainings throughout the life of the project. Additional verification procedures may also be necessary to ensure accuracy.

In budgeting for and implementing a data collection system, the Recipient should also consider the **caseload for each data collector** (i.e. during intake and ongoing monitoring activities). **As a project continues to enroll children, adults, and/or household units, caseloads per data collection staff member may increase.** In determining caseloads, recipients should consider their human and financial resources and their established targets per reporting period and should be aware of how long it typically takes to complete one intake and/or one monitoring interview with a child and/or an adult.

Recipients should also consider the resources needed for data entry and data cleaning. These steps in data collection system implementation are vitally important to reporting high-quality data to OCFT and understanding whether targets and objectives are being achieved. Double-entry is a recommended best practice for entering data from paper-based forms, however, this can be costly. Many projects have used short-term services from local university students to help with data entry from paper-based forms, while providing on-the-job experience and guidance to students, and/or have built-in extra time to their work plan, allowing for proper data-entry techniques. In implementing the data collection system, projects should also consider how they will treat missing data (procedurally and statistically), establish procedures around who may have administrative access (or varied levels of access) to the system, and take steps to safeguard project participant personally identifiable information (PII).

Recipients also have multiple options for data storage.⁵⁶:

- **Microsoft Excel** - Microsoft Excel is the industry standard data collection and analysis tool. The technical expertise required to use Excel is low, making it is easy to begin using, create a new spreadsheet, and begin to collect and enter data. However, data entry mistakes are easy to make in Excel. Excel will let the user enter anything into a cell and does not provide default data verification. This lack of validation can lead to issues with data integrity and reliability. Moreover, Excel is designed to be used by one user at a time, which makes collaboration more difficult. Though rated low for data integrity, reliability and survivability, Excel is the most widely used data collection tool. Its ease of use, low technical expertise required, and near universal availability make it the default tool to begin to collect and analyze data.

⁵⁶ Recipients should keep in mind the documentation and record keeping requirements set forth in 2 CFR 200.333.

- **Microsoft Access** - Microsoft Access is also useful for data collection and reporting. Access is easy to begin using, enforces good data integrity rules, and allows the user to create data collection, user interfaces and reports. Access is more complicated to use than Excel and is designed, unless properly configured, to be used by only one user at a time.
- **Relational Database** - If recipients have access to the required technical expertise, relational databases are the best solution for data storage. Relational databases store data in an efficient way, support strong data integrity controls, handle larger datasets, and are easier to use by multiple people in multiple locations. Examples of relational databases include PostgreSQL, MySQL, Oracle, and Microsoft SQL Server.
- **NoSQL Database** - NoSQL databases are a relative newcomer to data storage. These databases are like relational databases in their efficiency, handling of large datasets, and ease of access. However, NoSQL databases' data integrity controls are less stringent, and, because the data are stored without a schema, these databases may be initially confusing to users. Examples of NoSQL databases include MongoDB, CouchDB, Amazon DynamoDB and Google Cloud Datastore.

Each of the data storage options comes with advantages and disadvantages, and recipients should consider the following factors:

- **Technical Expertise** - Recipients should evaluate the level of technical expertise they have on the projects and choose a data storage solution that aligns with that level of expertise. For example, an enterprise database management system would not be recommended if recipients do not have a database administrator or programmer on their team. A more appropriate option may be to have staff use Excel or Access.
- **Data Integrity** - Data integrity refers to maintaining and ensuring the accuracy and consistency of data over the project's lifecycle and is a critical aspect of the design, implementation, and use of any system that stores, processes, or retrieves data. The data storage solution chosen by recipients should assist them in preserving data integrity.
- **Personally Identifying Information** - Recipients should consider how the data storage option selected can safeguard personally identifying information.
- **Reliability** - The system chosen should store data in a consistent and reliable way.
- **Access** - Recipients should determine who and how many people need access to the data. If more than one person needs access at a time, Recipients should consider a multi-user system such as a relational database. If only one person needs access at a time, an Excel spreadsheet may be adequate.
- **Survivability** - Survivability refers to the ability of the data storage to survive a drastic event such as a system failure. If the system fails, will the data still be available, will there still be access to it, or can it be restored if lost.

Recipients are encouraged to discuss their strategy for their data collection system with their OCFT M&E POC and GOR during project start-up and M&E Plan development.

Annex 10: Routine Data Quality Assessment Suggested Format

Attached is a suggested format for recipients to use to complete a routine data quality assessment.

[Click here to access the spreadsheet.](#)

Annex 11: Research Resources

[ILAB Knowledge Portal](#): The ILAB Knowledge Portal is a searchable online library of resources promotes knowledge sharing, data use, and learning related to ILAB's technical assistance programming. The portal includes project profiles, evaluation reports, evaluation report learnings, and technical assistance resources.

[RTA Bibliography](#): The RTA Bibliography contains research evidence on child labor, forced labor and human trafficking and is maintained by the International Labor Organization (ILO). It was initially developed under the RTA project, which was implemented by the ILO in close collaboration with the International Organization for Migration (IOM), with support from USDOL.