

November 2016

# **Management Procedures & Guidelines**

for Cooperative Agreements

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

## Table of Contents

<b>I.</b>	<b>LIST OF ACRONYMS</b>	<b>5</b>
<b>II.</b>	<b>INTRODUCTION</b>	<b>5</b>
<b>III.</b>	<b>ROLES AND RESPONSIBILITIES</b>	<b>5</b>
<b>IV.</b>	<b>PROJECT IMPLEMENTATION REQUIREMENTS</b>	<b>6</b>
1.	GENERAL TIMETABLE OF DELIVERABLES	6
2.	REQUIRED PROJECT COMPONENTS	9
2.1.	<i>Project Document Package</i>	9
2.2.	<i>Information on Funding to Host Country Governments and/or to Subawards</i>	9
2.3.	<i>Recipient Post-Award Baseline Survey and Follow-up Surveys and Pre- and Post-Situational Analyses</i>	9
2.4.	<i>Comprehensive Monitoring and Evaluation Plan (CMEP)</i>	11
2.5.	<i>Performance Monitoring Plan (PMP)</i>	13
2.6.	<i>Beneficiary Selection Criteria and Monitoring</i>	14
2.7.	<i>Safe and Healthy Learning Environments</i>	14
2.8.	<i>Sustainability Strategy</i>	15
2.9.	<i>Research</i>	15
<b>V.</b>	<b>PROJECT REPORTING REQUIREMENTS</b>	<b>15</b>
1.	TECHNICAL PROGRESS REPORTS	16
1.1.	<i>Quarterly Status Reports</i>	16
1.2.	<i>USDOL Common Indicator Spreadsheet</i>	16
1.3.	<i>Work Plan</i>	16
1.4.	<i>Final Technical Report</i>	17
2.	REPORTING PROBLEMS ENCOUNTERED	17
2.1.	<i>Corrective Action</i>	17
3.	FINANCIAL REPORTS	17
3.1.	<i>Quarterly Federal Financial Report SF-425</i>	17
3.2.	<i>Cost Sharing/Matching Funds/In-Kind Contributions</i>	18
3.3.	<i>Final Federal Financial Report SF-425 and Closeout Financial Form</i>	18
3.4.	<i>Additional Financial Reporting</i>	18
4.	INVENTORY LIST OF ALL EQUIPMENT AND REAL PROPERTY	18
<b>VI.</b>	<b>COMMUNICATION</b>	<b>19</b>
1.	FORMAL COMMUNICATION	19
2.	PRESS COMMUNICATION	19
3.	RESPONDING TO ALLEGATIONS ABOUT THE PROJECT	19
4.	GUIDELINES FOR ACKNOWLEDGMENT OF USDOL FUNDING AND USDOL DISCLAIMER	19
5.	SOCIAL MEDIA	20
6.	INFORMATION DISSEMINATION AND INTELLECTUAL PROPERTY	20
7.	TRANSPARENCY	21
8.	COORDINATION WITH KEY STAKEHOLDERS	22
9.	COMMUNICATION WITH U.S. EMBASSIES	22
<b>VII.</b>	<b>KEY PERSONNEL</b>	<b>22</b>
<b>VIII.</b>	<b>PAYMENTS</b>	<b>23</b>
<b>IX.</b>	<b>PROJECT REVISIONS AND USE OF FUNDS</b>	<b>23</b>
1.	REVISION REQUEST PROCESS	23
2.	PROGRAMMATIC REVISIONS	24
3.	BUDGET REVISIONS	24
4.	USE OF ALLOWANCE FOR UNFORESEEN COSTS	24
5.	PARTICIPANT SUPPORT COSTS	25

<b>X.</b>	<b>THIRD PARTY PROJECT EVALUATIONS AND AUDITS.....</b>	<b>25</b>
1.	AUDITS.....	25
2.	ATTESTATION ENGAGEMENTS.....	26
3.	IMPLEMENTATION EVALUATIONS.....	26
<b>XI.</b>	<b>PROJECT CLOSEOUT PROCEDURES.....</b>	<b>27</b>
1.	FINANCIAL SETTLEMENT OF USDOL FUNDS.....	27
2.	GOVERNMENT PROPERTY INVENTORY DISPOSITION REQUEST.....	27
3.	PROJECT CLOSEOUT DOCUMENTS.....	27
<b>XII.</b>	<b>RESTRICTIONS, UNALLOWABLE ACTIVITIES, AND SPECIFIC PROHIBITIONS.....</b>	<b>28</b>
1.	PRE-AWARD COSTS.....	28
2.	SUBAWARDS AND CONTRACTS.....	28
3.	FUNDS TO HOST COUNTRY GOVERNMENTS.....	28
4.	DIRECT CASH TRANSFERS TO COMMUNITIES, PARENTS, OR CHILDREN.....	29
5.	MICROFINANCE AND ALTERNATIVE INCOME-GENERATING ACTIVITIES.....	29
6.	INDIRECT COSTS.....	30
7.	PERSONNEL HOUSING AND PERSONAL LIVING EXPENSES.....	30
8.	CONSTRUCTION.....	31
9.	VALUE ADDED TAX (VAT).....	31
10.	MISCELLANEOUS PROHIBITIONS.....	31
11.	INHERENTLY RELIGIOUS ACTIVITIES.....	31
12.	PROGRAM INCOME.....	32
13.	LOBBYING AND FUNDRAISING.....	32
14.	FLY AMERICA ACT.....	32
15.	TRAFFICKING IN PERSONS, COMMERCIAL SEX ACTS, AND FORCED LABOR.....	33
16.	PROSTITUTION.....	34
17.	TERRORISM.....	34
<b>XIII.</b>	<b>SUSPENSION AND TERMINATION PROCEDURES.....</b>	<b>34</b>
1.	TERMINATION BY THE GRANT OFFICER.....	34
2.	TERMINATION BY THE GRANT OFFICER WITH CONSENT OF THE RECIPIENT.....	34
3.	TERMINATION BY THE RECIPIENT.....	35
	<b>ANNEX I: TECHNICAL PROGRESS REPORT.....</b>	<b>36</b>
	TPR ANNEX B: CURRENT AND LONG-TERM TARGETS FOR IMPROVING COUNTRY CAPACITY TO ADDRESS CHILD LABOR OR FORCED LABOR.....	43
	TPR ANNEX E: UPDATE ON PROJECT ACTIVITIES IN RESPONSE TO EVALUATION AND AUDIT RECOMMENDATIONS.....	44
	TPR ANNEX G: STATUS OF VAT EXEMPTION.....	45
	<b>ANNEX II: COMMON INDICATOR TRACKING FORM (SAMPLE).....</b>	<b>46</b>
	<b>ANNEX III: COMPANION TO THE USDOL COMMON INDICATORS.....</b>	<b>51</b>
1.	INTRODUCTION TO THE USDOL COMMON INDICATORS.....	51
2.	INSTRUCTIONS AND DEFINITIONS TO COMPLETE THE COMMON INDICATOR SPREADSHEET.....	53
	<i>Education Indicator E1.....</i>	<i>53</i>
	<i>Education Indicator E1.1.....</i>	<i>53</i>
	<i>Education Indicators E2, E3, E4.....</i>	<i>54</i>
	<i>Livelihood Indicator L1.....</i>	<i>58</i>
	<i>Livelihood Indicators L2, L3, L4, L5.....</i>	<i>58</i>
	<i>Country Capacity Indicator C1.....</i>	<i>63</i>
	<b>ANNEX IV: PROJECT REVISION FORM.....</b>	<b>66</b>
	<b>ANNEX V: FEDERAL FINANCIAL REPORT (SAMPLE).....</b>	<b>70</b>
	<b>ANNEX VI: INFORMATION ON FUNDING TO HOST COUNTRY GOVERNMENTS AND/OR TO SUBAWARDS.....</b>	<b>71</b>

**ANNEX VII: EQUIPMENT AND REAL PROPERTY INVENTORY LIST TEMPLATE (SAMPLE) ..... 72**  
**ANNEX VIII: BASELINE AND FOLLOW-UP SURVEY GUIDANCE ..... 73**  
**ANNEX IX: REQUIRED OUTCOME INDICATORS ..... 85**

## I. List of Acronyms

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

## II. Introduction

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

The MPG contains information that may not be explicitly detailed in the relevant Funding Opportunity Announcement (FOA) or terms and conditions of award and provides examples of the format for deliverables. However, not all sections of the MPG will apply to all projects. In cases where the MPG and terms and conditions of award are not aligned, the terms and conditions of award take precedence. The recipient should contact USDOL if further clarification is necessary.

Additionally, the recipient must comply with all applicable Federal regulations. The recipient also must have written internal policies and procedures (e.g., a PIO's or NGO's financial rules, regulations and procedures) and must document consistent use of those policies and procedures. See the [terms and conditions of award](#) for the order of precedence. See also sections of [2 CFR Part 200](#) that address a recipient's right and responsibility to maintain their own internal controls (e.g. 2 CFR 200 Subpart D, 2 CFR 200.303, 2 CFR 200.400, 2 CFR 200.403).

Note that USDOL may revise the MPG as needed, and any new or revised provisions will apply to this award. The most recent version of the MPG is available on the ILAB website: <https://www.dol.gov/agencies/ilab/resources/grants>.

## III. Roles and Responsibilities

The principal purpose of the USDOL-recipient relationship is the transfer of money, property, services, or

anything of value to the recipient in order to accomplish a public purpose of support or stimulation authorized by federal statute. The primary recipient and/or any subrecipients are not allowed to charge a fee (profit).

ILAB’s mission is to improve working conditions, raise living standards, protect workers’ ability to exercise their rights, and address the workplace exploitation of children and other vulnerable populations overseas. The mission of OCFT is to promote the elimination of child labor and forced labor through policy, research, and technical assistance projects. Projects funded by USDOL support this mission. In addition, these projects also support other relevant policy and technical initiatives of the U.S. Government.

In general, ILAB/OCFT uses a cooperative agreement to award and administer its funds. A cooperative agreement is a form of assistance where substantial involvement is anticipated between USDOL and the recipient during the performance of the proposed activities.

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

Funds from this award provided to contractors and/or subrecipients are subject to relevant requirements, including those provided for in the USDOL cooperative agreement.

## IV. Project Implementation Requirements

The recipient must implement the project according to the applicable USDOL FOA, the terms and conditions of award, and the recipient’s approved technical and cost proposal. In addition, the recipient must adhere to the requirements and deliverables as described in the MPG, as applicable to the project.

### 1. General Timetable of Deliverables

Subsequent to receiving the notice of award, the recipient will provide the following information/deliverables to USDOL, as applicable to the project and unless other deadlines or deliverables are specified in the applicable terms and conditions of award:

DEADLINE <sup>1</sup>	DELIVERABLE
<b>INITIAL AND ONGOING IMPLEMENTATION DELIVERABLES</b>	
<b>Quarterly:</b> January 30, April 30, July 30, October 30	Federal Financial Report (FFR) Standard Form (SF) 425
<b>Semi-annually:</b> April 30 and October 30	Technical Progress Report (TPR), with all required attachments
Within <b>12 months</b> of award and <b>Bi-annually</b>	Equipment and Real Property Inventory List submitted to Grant Officer

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

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Within <b>30 days</b> of award	Contact information for recipient provided to USDOL, including name, address, phone and email of point of contact at recipient headquarters and in the project country(ies).
Within <b>45 days</b> of award	Written notification that key personnel have begun to work on the project.
Within <b>12 months</b> of award	An inventory list of all equipment and real property purchased submitted to the Grant Officer.
Within <b>3 months</b> of award	Initial Draft Project Document Package Draft Performance Monitoring Plan (PMP), only applicable to projects not participating in the CMEP process; refer to the terms of award.
Within 5 months of award	Final Project Document Package (for projects with PMP only; not participating in the CMEP process) Final PMP (for projects with PMP only; not participating in the CMEP process)
Within 6 months of award	Assessment of Safe and Healthy Learning Environment
Within <b>3 months</b> of first CMEP workshop	Project Document Package (final draft) (for projects participating in the CMEP process)
Within <b>4 months</b> of award and as applicable	Information on Funding to Host Country Governments and/or to Subawards.
Within <b>7 months</b> of award	Sustainability strategy
<b>M&amp;E AND SURVEY DELIVERABLES</b>	
Within <b>2 months</b> of award	Initial Baseline Survey Terms of Reference submitted (as applicable)
Within 2 months of award	Initial Terms of Reference for Pre-Situational Analysis submitted (as applicable)
Within 3 months of award	Baseline Survey Terms of Reference finalized and approved by USDOL (Please note: The TOR cannot be posted for procurement until approved by USDOL)
Within 3 months of award	Pre-Situational Analysis Terms of Reference finalized and approved by USDOL (Please note: pre-situational analysis work cannot begin until approved by USDOL)
Within 3 months of award	Initial Child Labor definitions submitted (as applicable) (Please note: These are also part of the Baseline Survey Methodology Package)
Within <b>6 months</b> of award	Final Baseline Survey Methodology Package Submitted (Child Labor definitions, survey instruments, definition-questionnaire crosswalk, methodology, sampling framework, training plan and enumerator manual, piloting plan, overall survey timeline) (Please note: Enumerator training, piloting and survey field work cannot be started until the final methodology package is approved by USDOL)
TBD based on coordination with USDOL and as applicable; generally Within <b>6 months</b> of award	Pre-situational analysis completed and report submitted (as applicable based on Cooperative Agreement) (Please note: final report must be approved by USDOL)
Within <b>7 months</b> of award	Baseline Survey initiated.
TBD based on coordination with USDOL; generally within <b>12 months</b>	Final CMEP submitted

of award	
Within <b>12 months</b> of award	Baseline Survey Report and Data Package Submitted (Please note: the final survey report and data package must be approved by USDOL; projects should make provisions for any revisions of the report that may be necessary based on USDOL review and comment)
TBD, within 4 weeks of completion of baseline report; no later than within <b>13 months</b> of award	Strategy Review based on baseline survey report, conducted within 4 weeks of completing the baseline report. Project Revision Request submitted to USDOL, if necessary, to revise the project strategy.
Within <b>3 months</b> of completion of interim evaluation report	Review of CMEP indicators and targets based on interim evaluation report, mid-project CMEP check-in completed, and CMEP revision submitted (as applicable) (Please note: mid-CMEP check-in must be documented and completed in consultation with USDOL)
At least <b>9 months</b> prior to the end of the Cooperative Agreement period	Follow-up Survey Terms of Reference submitted. (As applicable) (Please note: The TOR cannot be posted for procurement until approved by USDOL)
At least <b>9 months</b> prior to the end of the Cooperative Agreement period	Follow-up Post-Situational Analysis Terms of Reference submitted. (As applicable) (Please note: Post-situational analysis cannot begin until TOR is approved by USDOL)
At least <b>7 months</b> prior to the end of the Cooperative Agreement	Follow-up Survey Methodology Package submitted (as applicable) (Child Labor definitions, survey instruments, definition-questionnaire crosswalk, methodology, sampling framework, training plan and enumerator manual, piloting plan, overall survey timeline) (Please note: Enumerator training, piloting, and survey field work cannot be started until the final methodology package is approved by USDOL)
At least <b>4 to 6 months</b> prior to the end of the Cooperative Agreement period	Follow-up Survey begun or initiated (as applicable based on the terms of award).
TBD based on coordination with USDOL and as applicable; generally at least <b>3 months</b> prior to the end of the Cooperative Agreement	Post-situational analysis completed (as applicable based on the terms of award) (Please note: Final report must be approved by USDOL)
At least <b>1 month</b> prior to the end of the Cooperative Agreement	Follow-up Survey Report and Data Package submitted. (Please note: the final survey report and data package must be approved by USDOL; projects should make provisions for any revisions of the report that may be necessary based on USDOL review and comment)
<b>CLOSE-OUT DELIVERABLES</b>	
At least <b>120 days</b> prior to the end of the Cooperative Agreement period	Government Property Inventory Disposition Request; inventory list of all real property, equipment with an acquisition value of USD 5,000 or more per unit, and supplies if aggregate value exceeds USD 5,000.
Within <b>90 days</b> after the end of the Cooperative Agreement period	Submittal of Closeout Documents Checklist; ; Final Technical Report; Final Quarterly FFR/SF-425; Closeout Financial Form; Recipient's Release Form; Recipient's Assignment of Refunds, Rebates, and Credits Form; Government Property Closeout Inventory Certification.

## **2. Required Project Components**

### **2.1. Project Document Package**

The recipient is required to carry out a review of the project strategy and project budget included in their proposal and produce a Project Document Package, in consultation with OCFT. This consists of the project design elements, work plan, and outputs-based budget. Operating within the scope of the approved proposal, the OCFT Grant Officer's Representative (GOR), as named in the Cooperative Agreement, will be involved in the development, review, and approval of the Project Document Package. The initial draft of the Project Document Package must be produced within deadlines established in the General Timetable of Deliverables. The outcomes of the first CMEP workshop may necessitate additional revisions to the Project Document Package; the final version of the Project Document Package must be submitted within deadlines established in the General Timetable of Deliverables. The final Project Document Package (which may include refinements to the project strategy/budget) is subject to final approval by the GOR and Grant Officer. Following that review process, if further refinement of the project strategy or budget are determined to be needed by the recipient or OCFT, the recipient will be required to consult with the GOR in preparing and then submitting a Project Revision Request to the Grant Officer proposing refinements to the project strategy and budget. The recipient must submit a Project Revision request, as described in the [Project Revisions](#) section below.

### **2.2. Information on Funding to Host Country Governments and/or to Subawards**

The recipient must submit Information on Funding to Host Country Governments and/or to Subawards to the GOR by the deadline established in the General Timetable of Deliverables (in Sec. IV. 1.) listing all funds provided to host country governments and/or to third-party entities performing a substantive part of the project but not approved as part of the original award (see Annex VI for an example). This includes host country governments, but excludes supplies, equipment, rent, and other administrative services.

All funds provided to host country governments require prior approval by USDOL regardless of whether the transaction is a subaward or a contract. Subawards and contracts to any type of entity proposed after receipt of the notice of award, and not proposed prior to award, must be awarded according to 2 CFR Part 200: Contracts must be awarded in accordance with 2 CFR 200.317-326. Subawards must be awarded in accordance with 2 CFR 200.330-332 **and require prior approval by USDOL** in accordance with 2 CFR 200.308(c)6 if not approved as part of the original award. The Information on Funding to Host Country Governments and/or to Subawards should be amended and submitted with any request for approval of new funds to host country governments and/or new funds to third-party entities performing substantive part of the project. Subawards and contracts are subject to audit, in accordance with the requirements of 2 CFR 200, Subpart F – Audit Requirements.

See section on Subawards and Contracts for more information.

### **2.3. Recipient Post-Award Baseline Survey and Follow-up Surveys and Pre- and Post-Situational Analyses**

For those projects with direct beneficiaries, OCFT requires the project to conduct quantitative baseline and follow-up surveys to calculate an area-based child labor prevalence rate and to understand changes in key variables among project beneficiaries that occur during the life of the project. For clarity, baseline and follow-up surveys must follow the requirements in Annex IX, Baseline and Follow-up Survey Guidance, to be considered official project surveys. For policy and capacity-building projects, OCFT may require in the Cooperative Agreement that the project conduct pre- and post-situational analyses; guidance on these requirements is detailed in the sections below.

#### **2.3.1. Baseline Survey and Follow-up Survey for Direct Service Projects**

For projects providing direct services or referrals to beneficiaries, the recipient must use an independent

contractor for survey data collection, preparation of reports, and related deliverables, and should follow procurement requirements outlined in MPG Section XII.2. For detailed requirements for baseline and follow-up surveys, please refer to Annex IX: Baseline and Follow-up Survey Guidance. As an Annex to this MPG, the requirements in that guidance are binding for recipients. It should be noted that other types of qualitative surveys and Knowledge, Attitudes, and Practices (KAP surveys) do not qualify as baseline and follow-up surveys as defined in Annex IX; in these cases, USDOL will provide specific guidance to the recipient.

In addition to the Baseline and Follow-Up Survey Guidance, OCFT will share a guide to developing project-level definitions and can make sample survey Terms of Reference available. . Recipients are strongly encouraged to begin work on baseline survey-related deliverables as soon as possible after award, to allow for sufficient time for review by USDOL and revision, and should contact the OCFT GOR for consultation and technical support on the development of the deliverables. Recipients' selected baseline contractor must conduct the field work portion of the baseline survey prior to the start of project interventions that involve substantive interactions with beneficiaries; preparatory activities that do not involve substantive interaction with beneficiaries may take place prior to the completion of the data collection portion of the baseline survey. Furthermore, full project activities can begin once data collection is completed; projects do not need to wait until the baseline report is submitted.

Recipients also should contact the OCFT GOR for consultation on the planning and development of the follow up survey. The follow-up survey should measure possible outcomes and impacts of the project interventions, including change in area-based child labor prevalence, working and education status of direct beneficiaries, changes in socio-economic status of households, and other variables relevant to the project. The follow-up survey should include an analysis on change in project beneficiaries over time; OCFT will provide additional guidance on this analysis to the recipient.

For both the baseline and follow-up survey reports and data packages, the recipient should make provisions for any revisions that may be needed following USDOL review and comment, and prior to final USDOL approval. In particular, the recipient is strongly encouraged to structure the timeframe of the baseline and follow-up survey contracts to include a period for additional revisions to the report and data package by the contractor.

Recipients may request technical assistance from the OCFT GOR and OCFT M&E staff at any time during the baseline and follow-up survey process.

### **2.3.2. Strategy Review of the Baseline Survey and Pre-Situational Analysis Findings**

In consultation with OCFT, recipients may use information gathered by a baseline survey or pre-situational analysis to propose adjustments in the project, as appropriate. This may be in addition to adjustments that are made during the CMEP process. Within one month of completing the baseline or analysis report, the recipient must review the proposed project strategy to determine whether any modifications are needed in light of new information about the project's implementing environment, intended project beneficiary children or households, or targeted geographic areas. The recipient must inform the GOR about its plans for the strategy review and OCFT retains the option to participate and to provide input.

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

### **2.3.3. Pre- and Post-Situational Analyses for Policy and Capacity-Building Projects**

For policy and capacity-building projects where it is required in the terms and conditions of award, the project must conduct pre- and post-situational analyses. The pre- and post-situational analyses are

generally qualitative in nature and take the place of a quantitative baseline survey; however, in some cases, with approval from USDOL, it may be appropriate to conduct quantitative Knowledge, Attitudes, and Practices (KAP) surveys. In these cases, USDOL will provide specific guidance to the recipient; it should be noted that KAP surveys do not qualify as baseline and follow-up surveys as defined in Annex IX: Guidance on Baseline and Follow-Up Surveys. The purpose of the pre-situational analysis is to: 1) establish a qualitative baseline for the various project components, and 2) to inform/justify the design and content of project interventions, and 3) identify key policy and capacity gaps in the country or environment where the project is operating. The pre-situational analysis will also inform the project's CMEP and possible revisions to the project document. The post-situational analysis will permit an assessment of how the situation has changed during the course of the project.

The scope and methodology may vary from project to project and may include, but are not limited to, qualitative and contextual assessments of policies, legal frameworks, service and program mapping, KAP surveys of relevant stakeholders, and government and civil society capacity assessments. The data collection portion of the pre-situational analysis must be completed prior to the start of substantive project activities; preparatory activities that do not involve substantive work may take place prior to the pre-situational analysis data collection. Furthermore, full project activities can begin once the data collection is completed; projects do not need to wait until the report is submitted. Before conducting both the pre- and post-situational analyses, the recipient should contact the OCFT GOR for consultation and technical support on the content, planned approach and methodology, and timeline. The recipient also should consult with the OCFT GOR on coordination between the pre-situational analysis and the development of the project CMEP.

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

As specified in the terms and conditions of award, for projects that include a CMEP, the recipient must collaborate with OCFT and, for designated projects, a USDOL External M&E Expert to develop a CMEP within the timeline established in the General Timetable of Deliverables (in Sec. IV. 1.). The CMEP is a tool to integrate and guide the process of monitoring, evaluating, and reporting on project progress toward achieving intended results and outcomes, and to inform and support project management and implementation, management decisions, and mid-course corrections. It promotes a strong link between project monitoring and evaluation activities, including establishing timelines for these activities so that they inform and build on one another and provide a full feedback loop. In general, CMEPs are required for direct service, policy and capacity-building projects.

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

CMEPs must include the applicable OCFT common performance indicators (education, livelihoods, and country capacity), applicable required outcome indicators, and project-specific indicators to monitor the work status of children.<sup>2</sup> The CMEP also will incorporate the child labor definitions developed for the baseline and follow-up surveys (as applicable to the project), and will document how the project will define and measure the work and education status of beneficiaries under the Direct Beneficiary

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

Monitoring System. In general, the work and education status of children must be monitored and reported on in the TPRs every six months; OCFT will provide specific guidance to projects in cases where different requirements are applicable, and the project's relevant FOA may have included specific provisions or exceptions to these monitoring requirements that should be further refined in consultation with OCFT during the CMEP process. The frequency of monitoring households receiving livelihood services will be determined through the CMEP process and will be dependent on the type of services being provided. For households that are receiving livelihood services, but where children are not receiving direct education services, recipients are expected to monitor the work status of children living in the household. The specific monitoring requirements for those children will be determined through the CMEP process within the context of each individual project. Recipients should consult with the OCFT GOR to discuss the project's specific approach to beneficiary monitoring.

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

Recipients are not required to finalize the full CMEP before beginning substantive project activities that involve direct interventions with beneficiaries (but should again take note of the requirement noted above about completing data collection portion of the baseline data prior to beginning project activities). However, recipients must finalize and receive USDOL approval of their beneficiary intake form, prior to the start of the beneficiary intake data collection process.

For policy and capacity-building projects, the OCFT GOR will work with the project to tailor the CMEP as needed to align with the activities and objectives of the project.

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

The CMEP must include the following components:

- Project theory of change (both a narrative and in the form of a Results Framework diagram);
- Problem analysis
- Activity Mapping to outputs and outcomes;
- Performance Monitoring Plan containing performance indicators at the output, outcome, and impact levels (including definitions, targets, frequency of collection, source, etc.);
- Data Collection Table to guide collection of performance data and link data collection tools to indicators;
- Data Quality Assessment Checklist;
- Overall plan for project evaluation, including project monitoring and evaluation mechanisms and processes; and
- Internal project guidelines to outline methods and rules of data collection, storage, processing, analysis, and reporting, including responsible parties and the frequency of reporting;
- Overview of Baseline and Follow-up Survey or pre- and post-situational analysis
- Data Collection Tools (including beneficiary intake and outtake forms, direct-service monitoring tools, capacity and awareness monitoring tools, etc. as relevant.)
- A performance reporting table

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

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

The development of the CMEP will be done in collaboration with USDOL, and, for designated projects as specified in the terms and conditions of award, may also be done with the support of a USDOL-funded

External M&E Expert. The recipient will be required to work closely with USDOL, and, as applicable, the contractor, throughout the process. Certain components of the CMEP, such as the project indicators, will be developed as early as possible in the process so that the indicators may inform the beneficiary intake data collection.

The recipient CMEP process will begin with an initial consultative workshop within the first few months of project start-up. USDOL, the recipient, and, as applicable, the External M&E Expert, will jointly consult to establish the dates for the workshop within a reasonable timeframe. The recipient should be prepared to dedicate up to one work week of key staff time (including the project director, M&E specialist, other M&E officers, and any area specialists) to this workshop, and should allocate appropriate budget resources, as required in the respective FOA, to support the CMEP process. At the workshop, the recipient will be provided with technical training to introduce key concepts of the CMEP, and the recipient will receive guidance to develop initial drafts of the theory of change and Results Framework components of the CMEP. At this workshop, a detailed Work Plan to schedule and track the development of the CMEP will also be drafted.

After the workshop, through phone calls, video conferencing, and/or emails, the recipient will revise and finalize the CMEP components within the allotted timeframes. This will generally entail providing a complete first draft of each of the components, reviewing comments provided by OCFT and, as applicable, the external M&E Expert, revising draft components as needed, and undertaking technical consultations as needed. This will require dedicated staff time in the first several months of the project.

A second in-country workshop, which may be up to five days, will be conducted to provide further technical assistance in support of CMEP finalization and implementation, including refinement of indicators, targets, and data collection mechanisms. The timing of the second workshop will be determined in consultation with the recipient and OCFT. The recipient will be responsible for preparing the final CMEP and submitting it for approval to OCFT, implementing the CMEP, and updating it, as needed, in consultation with OCFT.

#### **2.4.3. CMEP Revision Process**

CMEPs may be revised as needed during the life of the project. In cases of minor modifications to the CMEP, such as small alterations in indicator wording or M&E management processes internal to the project, projects must notify the GOR of any and all changes and then submit a revised CMEP. Substantial changes that alter targets, involve major changes to indicator wording, add or remove indicators, involve major revisions to written sections of the CMEP, or affect the scope of the project (including changes to major project activities) must be discussed with and approved by the OCFT GOR and M&E staff point of contact, and then a revised CMEP must be submitted for full review and approval by USDOL. The OCFT GOR also will advise if a proposed CMEP revision requires a formal project modification to be approved by the Grant Officer.

#### **2.4.4 Mid-Project CMEP Review and Check-In**

Within the timeline established in the General Timetable of Deliverables (in Sec. IV. 1.) for completion of the interim project evaluation, the project must undertake a review of CMEP indicators and targets, using feedback provided in the interim evaluation report, and submit a revision of the CMEP as applicable. The project also should conduct a mid-project CMEP check-in with USDOL, which should include a review of any CMEP revisions, data quality to date, and overall implementation and usage of the CMEP.

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

Some projects require only a PMP in place of the full CMEP; recipients should refer to their particular FOA and terms and conditions of award to determine whether a PMP is required in lieu of a CMEP. The draft PMP must be finalized in consultation with OCFT in accordance with the timeline laid out in the General Timetable of Deliverables (in Sec. IV. 1.).

The PMP process must include the development of a Results Framework and serves three primary functions: 1) to delineate the data collection process; 2) to ensure data comparability; and 3) to guide data analysis. A PMP, therefore, must contain the following information:

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

## **2.6. Beneficiary Selection Criteria and Monitoring**

Recipients must develop specific criteria for selecting beneficiaries for direct education and livelihood service provision, based on the project child labor definitions developed, as well as factors such as geographic areas of focus, common risk factors, and criteria relevant to the nature of the service. Selection criteria for beneficiaries receiving direct services or referrals may be refined in consultation with OCFT as a result of baseline data collection. Projects targeting youth age 18 and older are subject to criteria outlined in the FOA and consultation with OCFT to develop acceptable criteria for beneficiary selection.

In addition, recipients that provide direct services or referrals to beneficiaries are responsible for developing a Direct Beneficiary Monitoring System (DBMS). The DBMS will be developed by the recipient at the same time as the CMEP, in consultation with USDOL. The work and education status of children must be included in the DBMS and be monitored and reported on every 6 months. The recipient will be responsible for managing the DBMS. The recipient should note that some of the required outcome indicators address the work and education status monitoring requirement (see Annex X). Projects targeting youth age 18 and older, or migratory populations, are subject to criteria outlined in the FOA and consultation with OCFT to develop an acceptable and applicable DBMS.

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

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

For all projects providing education services to either adults, children, or both, the recipient is required to conduct a needs assessment of learning environments and develop a plan to inspect schools and other learning environments attended by direct beneficiaries; identify those with conditions that present risk of illness or injury to the health or safety of the children; and, if risks are identified, develop and implement an action plan for mitigating such risks during the life of the project.

If, after conducting the required needs assessment and inspection of schools and other learning environments attended by direct beneficiaries, the recipient determines that additional funding for construction beyond the initially approved amount is needed in order to make schools or other learning environments safe and/or protect the health of the project's direct beneficiaries, the recipient should notify the GOR as soon as possible. Funding for construction must not exceed 10 percent of the project budget without prior approval by the Grant Officer. Recipients unable to adhere to this threshold given the state of school conditions must (1) use alternative sites for the delivery of project services or 2) propose a Budget Revision that would allow for the reallocation of sufficient project funding to cover the costs of improvements needed to ensure the provision of safe and healthy learning environments for children. See

the [Budget Revisions](#) and [Construction](#) sections below.

## 2.8. Sustainability Strategy

Recipients must submit to the GOR their strategy for promoting sustainability, including a strategy for building local capacity as a means to promote the sustainability of efforts to combat child labor beyond the life of the project, within the timeline established in the General Timetable of Deliverable (in Sec. IV. 1.). Recipients' strategies should explain which of the project's specific objectives will be sustained after the project ends and how they will be sustained. Recipients must report on the progress of the sustainability plan in each of their TPRs. The assessment to prepare the sustainability strategy must be linked to project impact and the ability of individuals, communities, and the nation to ensure that the key activities or changes implemented by a project endure, and that organizations critical to these efforts have the capacity to maintain and/or expand them.

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

## 2.9. Research

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

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

All research conducted using USDOL funding must be summarized into a report and presented to the GOR for review prior to publically disseminating results and official publication. At minimum, the report must include the research purpose, research questions, sample, methodology, data analysis, and findings. All research reports must include a cover page with the title, date, author, and publishing organization. Once reviewed and approved by the GOR, recipients must disseminate their findings publicly, unless an alternative plan for dissemination has been confirmed with the GOR. See the [Information Dissemination and Intellectual Property](#) (in Sec. VI. 6.) for more information.

Recipients should also note that research activities should not be included in the M&E budget, and must be budgeted for separately.

## V. Project Reporting Requirements

The following procedures satisfy U.S. Government reporting requirements and those related to the Government Performance and Results Modernization Act (GPRMA).

### 1. Technical Progress Reports

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

Technical progress reports are meant to serve as an official record of project progress and performance. The format for the TPRs is provided in [Annex I: Technical Progress Report](#). Attachments that cannot be sent electronically must be sent in hard copy by mail (accompanied by an email message alerting the GOR of its pending arrival).

For reporting templates and definitions, please refer to [Annex I: Technical Progress Report](#), [Annex II: Common Indicator Tracking Form \(sample\)](#), and [Annex III: Companion to the USDOL Common Indicator Spreadsheet](#).

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

#### 1.1. Quarterly Status Reports

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

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

*Table 2. Quarterly Status Report Timeline*

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

#### 1.2. USDOL Common Indicator Spreadsheet

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

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

#### 1.3. Work Plan

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

#### **1.4. Final Technical Report**

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

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

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

- An assessment of achievement in terms of efficiency, effectiveness, relevance, sustainability, and interrelationships between objectives. If information is missing or not applicable, the recipient should indicate and explain why in a footnote. A narrative assessment is expected to be provided for each indicator.
- A table including the actual life-of-project reporting figures for project beneficiaries. These numbers must be consistent with what has been reported in the Common Indicator Tracking Forms for GPRMA. If the numbers differ from those previously reported, the recipient must explain a) the changes to the figures and b) the reason for change.
- A final and complete list of subawards, including the name of the funded entities, activities or services performed, program duration, the approved budget, actual expenditures, delivery rate, date of closeout, and any additional remarks.
- An assessment of project sustainability as outlined in the recipient's sustainability strategy. The assessment must be linked to project impact and the ability of individuals, communities, and nation to ensure that the activities or changes implemented by a project endure.

## **2. Reporting Problems Encountered**

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

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

### **2.1. Corrective Action**

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

## **3. Financial Reports**

### **3.1. Quarterly Federal Financial Report SF-425**

All recipients must submit quarterly financial reports using the FFR/SF-425 throughout the period of performance of the cooperative agreement. The FFR/SF-425 indicates the status of funds at the project

level. The recipient must submit an updated FFR/SF-425 electronically through the *E-grants* system no later than 30 days after the end of each quarter as outlined below in Table 3. See [Annex V: Federal Financial Report \(sample\)](#) for an example of SF-425.

Table 3. FFR/SF-425 Timeline

Report Period	Submission Deadline
October 1 – December 31	January 30
January 1 – March 31	April 30
April 1 – June 30	July 30
July 1 – September 30	October 30

### 3.2. Cost Sharing/Matching Funds/In-Kind Contributions

Cost sharing, matching funds or in-kind contributions are not required for OCFT programs. Any cost sharing, matching and/or in-kind contributions included in the recipient’s Application for Federal Assistance, SF-424, must comply with requirements described in 2 CFR 200.306.

Committed cost sharing, matching or in-kind contributions must be reported quarterly in the FFR/SF-425. Such cost share, matching or in-kind contributions must abide by the same restrictions as funds awarded by USDOL. In addition, the recipient is required to obtain USDOL approval to report direct beneficiaries for GPRMA purposes when the beneficiary services are not fully funded by USDOL.

If a recipient elects to commit cost sharing, matching or in-kind contributions, including funds from subrecipients, such contributions must be used to support the work of the project or defray its costs. Applicants may not make subawards contingent upon a subrecipient agreeing to provide cost sharing, matching or in-kind contributions.

In addition to the guidance set forth in 2 CFR 200.306(b), for Federal awards from the Department of Labor, the non-Federal entity must account for funds used for cost sharing or match within their accounting systems as the funds are expended.

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

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

### 3.4. Additional Financial Reporting

Per 2 CFR 200.207, USDOL may ask the recipient to submit on a case-by-case basis, an update of the project’s detailed output-based budget, or a Federal Financial Report SF-425 that provides information on total allocations, expenditures, commitment of balances and project balance by budget categories identified in SF-424A (Budget Information Form).<sup>3</sup>

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

The recipient must submit an inventory list of all equipment and real property to the Grant Officer within the timeline established in the General Timetable of Deliverables, at any time that additional equipment or real property is purchased with project funds, and at least once every two years, consistent with the regulations applicable to “Property Standards” at 2 CFR 200, Subpart D – Post Federal Award Requirements (see [Annex VII: Inventory List Template \(Sample\)](#)).<sup>4</sup>

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

<sup>4</sup> *Equipment* means tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-Federal entity for financial statement purposes, or \$5,000. (2 CFR 200.33).

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

## VI. Communication

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

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

### 1. Formal Communication

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

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

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

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

### 2. Press Communication

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

### 3. Responding to Allegations about the Project

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

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

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

*Funding is provided by the United States Department of Labor under cooperative agreement number IL-XXXXX.*

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

*This material does not necessarily reflect the views or policies of the United States Department of Labor, nor does mention of trade names, commercial products, or organizations imply endorsement by the United States Government. XX percentage of the total costs of the project or program is financed with Federal funds, for a total of XX dollars.*

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

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

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

## **5. Social Media**

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

## **6. Information Dissemination and Intellectual Property**

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

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

All published documents must comply with Section 508 of the Rehabilitation Act of 1973, as amended.

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

The recipient may copyright works created or for which ownership was purchased with USDOL funds; however, USDOL reserves a royalty-free non-exclusive and irrevocable right to obtain, copy, publish, or otherwise use such works for Federal purposes and to authorize others to do so.

USDOL reserves a paid-up, nonexclusive and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use for Federal purposes: i) the copyright in all products developed under the award, including a subrecipient; and ii) any rights of copyright to which the recipient, subrecipient or a contractor purchases ownership under an award (including, but not limited to, curricula, training models, technical assistance products, and any related materials). Such uses include, but are not limited to, the right to modify and distribute such products worldwide by any means, electronically or otherwise. The recipient may not use Federal funds to pay any royalty or license fee for use of a copyrighted work, or the cost of acquiring by purchase a copyright in a work, where the Department has a license or rights of free use in such work. If revenues are generated through selling products developed with award funds, including intellectual property, these revenues are program income. Program income is added to the award and must be expended for allowable activities. Additionally, the Federal government has the right to require intellectual property developed under a competitive Federal award process to be licensed under a Creative Commons Attribution license. This license allows subsequent users to copy, distribute, transmit and adapt the copyrighted Work and requires such users to attribute the Work in the manner specified by the recipient.

## **7. Transparency**

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

USDOL recognizes that grant applications sometimes contain information that an applicant may consider proprietary or business confidential information, or may contain personally identifiable information. Information is considered proprietary or confidential commercial/business information when it is not usually disclosed outside your organization and when its disclosure is likely to cause you substantial competitive harm. Personally identifiable information is information that can be used to distinguish or trace an individual's identity, such as name, social security number, date and place of birth, mother's maiden name, or biometric records, or other information that is linked or linkable to an individual, such as medical, educational, financial, and employment information.<sup>5</sup>

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

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<sup>5</sup> Memorandums 07-16 and 06-19. GAO Report 08-536, *Privacy: Alternatives Exist for Enhancing Protection of Personally Identifiable Information*, May 2008, <http://www.gao.gov/new.items/d08536.pdf>.

information.)

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

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

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

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

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

The recipient is expected to inform and invite the U.S. Embassy to all major events undertaken as part of the project and maintain communication with Embassy staff, copying the USDOL GOR on all correspondence.

In instances of project implementation problems, the recipient must first discuss such problems with OCFT, including any possible need for Embassy assistance in instances such as customs and VAT exemptions. Depending on the nature of the problem, USDOL will then decide whether USDOL will communicate directly with the Embassy on the issue or allow the recipient to inform the Embassy.

# **VII. Key Personnel**

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

The recipient must inform the GOR immediately in the event that key personnel cannot continue to work on the project as designated. In such cases, the recipient is expected to nominate new personnel, through the submission of a formal project revision (see [Project Revisions](#)). The recipient must obtain prior approval from the Grant Officer before any change to key personnel is formalized. If the recipient is

unable to propose a replacement for a key personnel position that both meets the requirements of the position as outlined in the FOA and is acceptable to the Grant Officer, the Grant Officer reserves the right to terminate the cooperative agreement or disallow costs.

## VIII. Payments

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

The recipient may draw down from the account as needed, but the amount of advances (drawdowns) requested must be based on actual and immediate cash needs in order to minimize federal cash on hand in accordance with policies established in Treasury Department Circular 1075 and 2 CFR 200, Subpart D – Post Federal Award Requirements, Standards for Financial and Program Management. The timing and amount of advances (drawdowns) must be as close as administratively feasible to actual disbursements by the recipient for all allowable direct and indirect program costs. See the terms and conditions of award for more details on Payments.

Refer to the HHS-PMS website for information on reporting requirements, help resources and more: [https://www.dpm.psc.gov/grant\\_recipient/grant\\_recipient.aspx?explorer.event=true](https://www.dpm.psc.gov/grant_recipient/grant_recipient.aspx?explorer.event=true).

## IX. Project Revisions and Use of Funds

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

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

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

### 1. Revision Request Process

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

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

direction.

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

## **2. Programmatic Revisions**

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

## **3. Budget Revisions**

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

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

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

- The inclusion of costs that require prior approval in accordance with 2 CFR Subpart E—Cost Principles or 48 CFR Part 31.
- The transfer of funds budgeted for participant support costs as defined 2 CFR 200.75 to other categories of expense.
- Unless described in the proposal and funded in the approved award, the subawarding or transferring of any work under the federal award. (This does not apply to the acquisition of supplies, material, equipment or general support services.)
- Changes in the amount of approved cost-sharing or matching.
- The transfer of funds among direct cost categories that exceeds or is expected to exceed 10 percent of the total budget.
- The purchase of any equipment with a per unit cost of \$5,000 or more and a useful life of more than one year.
- The transfer of funds to host country governments (approved only on a very limited basis).
- Use of allowance for unforeseen costs (see below).
- Any revisions that would move funds from cost categories restricted in the FOA and/or in the terms and conditions of award (e.g. Monitoring and Evaluation costs).

See 2 CFR Part 200 (e.g. 200.308, 200.407) and the relevant cost principles for more examples of costs that may require prior approval.

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

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

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

USDOL also recognizes that certain other unforeseen circumstances may arise and result in a need for an exception to the use of Allowance for Unforeseen Costs funds. These include but are not limited to the following: 1) changes in a country's security environment, 2) natural disasters, 3) civil or political unrest/upheavals or government transitions, or 4) delays related to loss of or damage to project property.

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

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

## 5. Participant Support Costs

Recipients may use project funds to cover participant support costs associated with a conference, seminar, symposium, workshop or other event whose primary purpose is the dissemination of technical information and is necessary and reasonable for the successful performance under the Federal award and is in compliance with the recipient's internal operating procedures. Participant support costs means direct costs for items such as daily subsistence allowances and travel allowances paid to or on behalf of participants or trainees (not including employees of the recipient or subrecipient institution) in connection with the events noted in the preceding sentence. Participant support costs are allowable with the prior approval of USDOL. Costs must be reasonable, taking into account where and when the project activity will take place, and are subject to review by USDOL or its auditors. Where possible, participant support costs should be paid for directly by the recipient or subrecipients to the service provider. If costs are paid directly to participants, recipients should make clear that participant support costs are covering cost incurred and are not compensation for participation at events.

## X. Third Party Project Evaluations and Audits

### 1. Audits

Organization-wide or program-specific audits shall be performed in accordance with 2 CFR 200 Subpart F – Audit Requirements, which codifies the Single Audit Act Amendments of 1996.

- Recipients that expend \$750,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the requirements contained in 2 CFR part 200.
- Recipients that expend \$750,000 or more in a year in Federal awards under only one Federal program may elect to have a program-specific audit conducted in accordance with 2 CFR 200.507 Program-specific audits.
- Recipients that expend less than \$750,000 in a year in Federal awards are exempt from Federal audit requirements for that year (except as noted in 2 CFR 200.503 Relation to other audit requirements), but records must be available for review or audit by the Federal agency, pass-through entity and the Government Accountability Office (GAO) upon request.

Recipients must comply with the timeframes established in those regulations for the submission of their audits to the Federal Audit Clearinghouse. Recipients must notify their assigned GOR of each audit conducted within the timeframe of the DOL-funded project at the time it is submitted to the Federal Audit Clearinghouse. Recipients may be asked by the GOR to submit a copy of a single audit based on the GOR's review of the audit summary in the clearinghouse.

See 2 CFR Part 200, subpart F for more details about audit requirements.

## **2. Attestation Engagements**

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

## **3. Implementation Evaluations**

As part of the overall monitoring and evaluation process, USDOL requires projects to undergo external implementation evaluations, usually one at an interim point in the project and a second no later than three months before the project's end, to assess project implementation, progress in meeting goals and objectives, and overall project results.

The CMEP will include general information about evaluations, and each evaluation will have a detailed Terms of Reference. For projects with a CMEP, all evaluations are to take into account the CMEP and data collected through the CMEP process. For projects with a PMP, all evaluations are to take into account the PMP and data collected through the PMP process. Evaluations will be conducted by an External M&E Expert contracted and managed by USDOL. Any exceptions to this rule will either be outlined in the FOA or Cooperative Agreement or approved on a case-by-case basis by USDOL. Prior to the start of each evaluation, the External M&E Expert will lead the process of developing the specific terms of reference (TOR) for the evaluation and provide additional guidance on the evaluation scope and process as required, with oversight from OCFT. The recipient will have the opportunity to provide inputs to and comments on the TOR and to review and comment on the draft evaluation report.

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

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

Funds permitting, USDOL intends to cover the costs of implementation evaluations using funding outside of a project's budget. However, because USDOL's funding is never guaranteed from year to year, recipients are required to include funding for evaluations in their budgets in the amounts specified in the respective terms and conditions of award. Typically, such project funding is to be used to support the evaluation process, and may include, but not be limited to, the cost of a site for the stakeholder meeting, stakeholder travel costs related to this meeting, the translation and printing of evaluation reports in local

languages, and ground transportation for the evaluator. Should USDOL not have additional funding (outside of a project's budget) available to cover the costs of implementation evaluations, USDOL will work with the recipient to determine the most appropriate and effective way to make use of existing project funds set aside for evaluations to support the overall evaluation process. Re-allocation of funds set aside within project budgets for evaluations that are not needed for this purpose must be made in consultation with USDOL and approved by USDOL.

## **XI. Project Closeout Procedures**

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

The recipient is responsible for the orderly and timely phase out of any projects under the USDOL cooperative agreement and for the financial settlement of claims on behalf of subrecipients and subcontractors.

Funds obligated by USDOL to the recipient remain available for obligation by the recipient during the period of performance of the cooperative agreement.

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

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

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

Final closeout of the cooperative agreement will not prevent USDOL from disallowing costs or recovering funds from the recipient on the basis of a later audit or review, in accordance with the provisions of 2 CFR 200.344.

### **2. Government Property Inventory Disposition Request**

No later than 120 days before completion of the project, the recipient must submit the following information to the Grant Officer, consistent with the regulations applicable to "Property Standards" at 2 CFR 200.310-316:

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

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

### **3. Project Closeout Documents**

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

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

- Recipient Submittal of Closeout Documents Checklist
- Final Technical Report. See [Final Technical Report](#);
- A Final Federal Financial Report SF-425. See [Semi-Annual Federal Financial Report](#). This report is not a certified financial statement, but provides USDOL with an overview of allocations and

- expenditure as well as project balances by budget line;
- A final FFR/SF-425 quarterly report. See [Final Federal Financial Report SF-425 through the e-grants system](#);
- Closeout Financial Form through the e-grants system;
- Recipient's Release Form;
- Recipient's Assignment of Refunds, Rebates, and Credits Form; and
- Government Property Closeout Inventory Certification.

If more than 90 days is needed the recipient must submit a request to the project GOR.

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

## **XII. Restrictions, Unallowable Activities, and Specific Prohibitions**

USDOL/ILAB would like to highlight the following restrictions, unallowable activities, and specific prohibitions, as identified in 2 CFR Part 200, Subpart E – Cost Principles, and USDOL policy for all USDOL-funded child labor elimination projects. If the recipient has questions regarding these or other restrictions, consultation with OCFT is recommended.

### **1. Pre-Award Costs**

USDOL funds may not be encumbered or obligated by a recipient before the period of performance. Pre-award costs, including costs associated with the preparation of an application submitted in response to an FOA, are not reimbursable under the cooperative agreement.

### **2. Subawards and contracts**

Subawards and contracts awarded after receipt of the notice of award, and not approved as part of the original award, must be awarded according to 2 CFR part 200. Contracts must be awarded in accordance with 2 CFR 200.317-326. Subawards must be awarded in accordance with 2 CFR 200.330-332 and require prior approval by USDOL in accordance with 2 CFR 200.308(c)6 if not approved as part of the original award. In the rare event that [funds are provided to host country governments](#), prior approval by USDOL is required. Subawards and contracts are subject to audit, in accordance with the requirements of 2 CFR 200, Subpart F – Audit Requirements.

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

Recipients are responsible for subrecipients' expenditure of funds, financial management, and compliance with USDOL and Federal regulations. This includes ensuring subrecipient compliance with all audit requirements established in 2 CFR part 200, Subpart F – Audit Requirements.

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

It is recognized that the normal requirements for competition as described in 2 CFR 200.317-326 apply to procurements of goods and services, including those for which foreign governments may compete. The normal requirements for subawards as described in 2 CFR 200.330-332 apply to passing through part of the Federal award to another entity, including to a foreign government. However, USDOL funds are not

intended to duplicate existing foreign government efforts or substitute for activities that are the responsibility of such governments.

Accordingly and generally, Recipients may not provide any of the funds obligated under a Cooperative Agreement to a foreign government or entities that are agencies of, or operated by or for, a foreign state or government, ministries, officials, or political parties, except in cases consistent with the paragraph below.

Exceptions may be made in cases where the following conditions are satisfied: (1) the Recipient funding of such activities would not duplicate existing foreign government efforts or substitute for activities that are the responsibility of such governments, (2) the recipient has demonstrated that funding of activities through a government entity is necessary for achieving the goals of the project, including building government capacity, and (3) the Recipient has received prior USDOL approval. In granting such approval, consideration will be given, in the case of a contract, where the Recipient has conducted a competitive procurement process and has determined that no other entity is able to provide services or undertake project activities, and, in the case of a subaward, where the Recipient has undertaken an assessment that demonstrates (1) the need for allocating funding to a specific government entity to carry out a given activity and (2) why the funding of any other entity to carry out the activity in question would result in the recipient's inability to achieve a key goal of the project.

This information must be included in all subaward and/or contract agreements issued under the Cooperative Agreement.

The recipient must submit all relevant information to USDOL for approval, see Annex A (Information on Funding to Host Country Governments and/or to Subawards) and section 4.2.3.

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

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

If approved by USDOL, these items shall be purchased or paid for directly by the recipient or subrecipients or subcontractors in the form of vouchers, or payment to the service provider, as opposed to transferring cash directly to project beneficiaries or other individuals. This ensures that the money goes for its intended purpose and is not diverted or lost.

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

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

USDOL funds awarded under any USDOL-OCFT cooperative agreements may be used to provide micro-credits, revolving funds, or loan guarantees, as proposed by the recipient and approved by USDOL. USDOL reserves the right to negotiate the exact nature, form, or scope of alternative income-generating activities and to approve these activities when proposed by the recipient. Other permissible costs related to alternative income-generating activities for parents and children may include, but are not limited to,

vocational or skills training, incidental tools, guides, manuals, and market feasibility studies.

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

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

## **6. Indirect Costs**

Applicants may support indirect costs according to Federal regulations. Indirect costs are those that have been incurred for common or joint objectives and cannot be readily identified with a particular final cost objective. Indirect cost charges must be based on allowable (i.e. necessary, reasonable, conforming, consistent and documented) costs based on the applicable cost principles.

- For organizations with a negotiated indirect cost rate agreement (NICRA) approved by the Federally Cognizant Agency (FCA) or other rate agreement approved by DOL: Indirect costs must be supported according to the approved rate agreement. When a new rate agreement is in place, submit it to your GOR as soon as possible.
- For organizations with no budgeted/claimed indirect costs: All supported costs must be certified to be directly allocable to the project and not supported from any other source.
- For organizations that have never received a negotiated indirect cost rate, with exceptions noted in 2 CFR 200.414(f), and received approval to use a de minimis indirect cost rate of 10 percent of modified total direct costs (MTDC): Indirect costs must be supported consistently and in compliance with relevant cost principles. The de minimis rate must be used consistently for all Federal awards and may be used indefinitely or until the organization negotiates a rate with the Federally Cognizant Agency.

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

In accordance with federal cost principles, recipient or subrecipient personnel housing and personal living

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

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

## **8. Construction**

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

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

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

VAT Foreign taxes charged for the purchase of goods or services that a non-Federal entity is legally required to pay in country is an allowable expense under Federal awards. The recipients and subrecipients shall make every effort to apply for and receive VAT exemption in the country or countries in which the project operates. 2 CFR 200.470

The recipient will report on the progress of its application for VAT exemption in its Technical Progress Reports. See the MPG for further guidance on VAT exemptions.

## **10. Miscellaneous Prohibitions**

USDOL funds may not be used to provide for:

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

## **11. Inherently Religious Activities**

The U.S. Government is generally prohibited from providing direct financial assistance for inherently religious activities. The recipient and subrecipients may work with and make subawards to religious institutions; however, Federal funds provided under a USDOL-awarded cooperative agreement may not be used for religious instruction, worship, prayer, proselytizing, other inherently religious activities, or the

purchase of religious materials. Neutral, non-religious criteria that neither favor nor disfavor religion will be employed in the selection of recipients and must be employed by the recipient in the selection of subrecipients and subcontractors. This provision must be included in all subawards issued under the cooperative agreement.

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

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

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

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

## **12. Program Income**

Program income, as defined by 2 CFR 200.80, generated from recipient activities, must be added to the award and must be expended for allowable activities.

## **13. Lobbying and Fundraising**

Funds provided by USDOL for project expenditures under the cooperative agreement may not be used with the intent to influence a member of the U.S. Congress, a member of any U.S. Congressional staff, or any official of any Federal, State, or Local Government in the United States (hereinafter “government official(s)”), to favor, adopt, or oppose, by vote or otherwise, any U.S. legislation, law, ratification, policy, or appropriation, or to influence in any way the outcome of a political election in the United States, or to contribute to any political party or campaign in the United States, or for activities carried on for the purpose of supporting or knowingly preparing for such efforts. This includes awareness raising and advocacy activities that include fund-raising or lobbying of U.S. Federal, State, or Local Governments (see 2 CFR 200.442 and 450). This does not include communications for the purpose of providing information about the recipient or its subrecipients and their programs or activities in response to a request by any government official or for consideration or action on the merits of a federally-sponsored agreement or relevant regulatory matter by a government official.

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

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

## **14. Fly America Act**

Recipients and their subrecipients must adhere to the International Air Transportation Fair Competitive Practices Act of 1974 (49 U.S.C. 40118) (Fly America Act).<sup>6</sup>

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<sup>6</sup> For full text of the International Air Transportation Fair Competitive Practices Act of 1974 (49 U.S.C. 40118), see

## **15. Trafficking in Persons, Commercial Sex Acts, and Forced Labor<sup>7</sup>**

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

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

2. USDOL may unilaterally terminate this award, without penalty, if the recipient or a subrecipient that is a private entity a) is determined to have violated a prohibition in paragraph A.1 of this section; or b) has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph A.1 of this section through conduct that is either associated with performance under this award; or imputed to the recipient or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR 180, "Governmentwide Debarment and Suspension (Nonprocurement)."

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

1. USDOL may unilaterally terminate the cooperative agreement, without penalty, if a subrecipient a) is determined to have violated a prohibition in paragraph A.1 of this section; or b) has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph A.1 of this section through conduct that is either associated with performance under this award; or imputed to the recipient or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, "Governmentwide Debarment and Suspension (Nonprocurement)."

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

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

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

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<http://www.gpo.gov/fdsys/granule/USCODE-2011-title49/USCODE-2011-title49-subtitleVII-partA-subparti-chap401-sec40118/content-detail.html>.

<sup>7</sup> For purposes of this section:

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

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

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

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

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

#### **16. Prostitution**

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

#### **17. Terrorism**

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

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

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

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

A cooperative agreement may be terminated in accordance with 2 CFR 200.338-342 and the guidelines below.

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

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

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

The Grant Officer, with the consent of the recipient, may terminate a grant in whole, or in part, or a specific project or projects under a Cooperative Agreement, at any time before the date of completion. In

this case, the two parties shall agree upon the termination conditions, including the effective date, and in the case of partial termination, the portion to be terminated. The recipient must not incur new obligations for the terminated portion after the effective date and must cancel as many outstanding obligations as possible. The Grant Officer is expected to allow full credit to the recipient for the federal share of the obligations that cannot be cancelled properly but are incurred by the recipient prior to termination. Payments made to the recipient or recoveries by USDOL must be in accord with the legal rights and liabilities of the parties.

### **3. Termination by the Recipient**

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

#### **Definitions**

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

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

## Annex I: Technical Progress Report

Template recommended for use.

### TECHNICAL PROGRESS REPORT

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

#### Technical Progress Report Cover Sheet

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

## I. COUNTRY INFORMATION AND DEVELOPMENTS

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

## II. PROGRESS OF THE PROJECT

### II.A Project Status and Overview

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

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

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

**1. Direct Beneficiary Service Provision:** Direct beneficiaries are to be tracked in **Annex A – USDOL Common Indicator Spreadsheet**. This spreadsheet must be filled out and submitted electronically as a separate document with each TPR. Individual fiscal year targets must be submitted for the full project implementation period in each **October** TPR.<sup>8</sup> Instructions for how this spreadsheet is to be used, along with relevant definitions can be found in *Companion to the USDOL Common Indicators Spreadsheet*.

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

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

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

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<sup>8</sup> The E1 and L1 annual fiscal year targets must be updated once a year in the October technical progress report to reflect implementation realities; however **current and prior fiscal year targets cannot be modified**. Annual targets are not required for E1.1, E2, E3, E4, and for L2, L3, L4, and L5. The total life of project targets should reflect the targets stated in the Project Proposal unless these targets have been formally revised and approved by the USDOL Grant Officer. If the life of project targets have been formally revised, please include the revised number in the indicator reporting sheet and include information that the target has been formally revised in the 'Notes' section.

list only the resulting final capacity outcomes achieved, per the *Companion* definitions.

<b>USDOL COMMON INDICATOR: COUNTRY CAPACITY TO ADDRESS CHILD LABOR OR FORCED LABOR (C1)</b>	
<p><b>Projects should use this table to record targets (when applicable and previously identified), interim steps and achievements needed to reach the target, actual project efforts to date, and final outcomes achieved to date. Targets listed in this table should align with those identified in Annex B. Projects may add additional rows as needed to the table.</b></p>	
<b>1. The adaptation of the legal framework to meet international labor standards</b>	
Target:	Interim Steps and Achievements (needed to achieve target):
Project Efforts:	Final Outcomes Achieved:
<b>2. Formulation and adoption of specific policies, plans or programs to combat child labor or forced labor</b>	
Target:	Interim Steps and Achievements (needed to achieve target):
Project Efforts:	Final Outcomes Achieved:
<b>3. The inclusion of child labor or forced labor concerns in relevant development, education, anti-poverty, and other social policies and programs</b>	
Target:	Interim Steps and Achievements (needed to achieve target):
Project Efforts:	Final Outcomes Achieved:
<b>4. Establishment of a child labor monitoring system (CLMS)</b>	
Target:	Interim Steps and Achievements (needed to achieve target):
Project Efforts:	Final Outcomes Achieved:
<b>5. Institutionalization of child labor and forced labor research (including evaluation and data collection)</b>	
Target:	Interim Steps and Achievements (needed to achieve target):
Project Efforts:	Final Outcomes Achieved:
<b>6. Institutionalization of training on child labor or forced labor issues</b>	
Target:	Interim Steps and Achievements (needed to achieve target):
Project Efforts:	Final Outcomes Achieved:

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**1. Raising Awareness**

**2. Research**

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

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

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

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

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

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

**IV. LESSONS LEARNED**

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

**V. EMERGING GOOD PRACTICES**

Describe in detail any emerging good practices in your program.

**VI. LIST OF ACTIVE SUBAWARDS AND CONTRACTS**

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

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

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

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

**1. Direct Beneficiary Service Provision**

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

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

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

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

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

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

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

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

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

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**3. Raising Awareness**

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**4. Research**

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**5. Sustainability**

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**6. Monitoring and Evaluation**

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**7. Other**

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**VIII. PROJECT HIGHLIGHT**

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

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

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Attach the following documents to every technical progress report.

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**Annex A: USDOL Common Indicators Spreadsheet** (Excel)  
See the *Companion to the USDOL Common Indicator Spreadsheet* for definitions and instructions. (Submit results with every TPR, and update current and future fiscal year targets in each **October** TPR only.)<sup>9</sup>

**Annex B: Current and Long-Term Targets for Improving Country Capacity to Address Child Labor or Forced Labor** (Submit with each **October** TPR)  
See the *Companion to the USDOL Common Indicator Spreadsheet* for definitions and examples for Country Capacity.

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<sup>9</sup> The E1 and L1 annual fiscal year targets must be updated once a year in the October technical progress report to reflect implementation realities; however **current and prior fiscal year targets cannot be modified**. Annual targets are not required for E1.1, E2, E3, E4, and for L2, L3, L4, and L5. The total life of project targets should reflect the targets stated in the Project Proposal unless these targets have been formally revised and approved by the USDOL Grant Officer. If the life of project targets have been formally revised, please include the revised number in the indicator reporting sheet and include information that the target has been formally revised in the 'Notes' section.

- Annex C: Status of Project Performance Against Indicators**  
Report using the project-specific tracking tool developed within the comprehensive monitoring and evaluation plan of the project.
- Annex D: Response to Donor Comments from Last Technical Progress Report**  
Also include any responses already submitted to USDOL.
- Annex E: Update on Project Activities in Response to Evaluation and Audit Recommendations**
- Annex F: Updated Project Work Plan**
- Annex G: Status of VAT Exemption (Required until VAT Exemption is received)**  
Use the provided format below to report on the project's status of obtaining VAT exemption.
- Annex H: Other Documents**  
Include documents requested by USDOL, or external reports, project research, draft legislation, press clippings, awareness-raising materials, project photographs, etc.
- Annex I: Acronym List**  
If all acronyms are not defined in the body of the document, include a reference list of acronyms and abbreviations used in this report and annex

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

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

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

<b>Fiscal Year Targets</b>	Adaptation of the legal framework to the international standards	Formulation and adoption of specific policies, plans or programs to combat child labor or forced labor	The inclusion of child labor or forced labor concerns in relevant development, education, anti-poverty, and other social policies and programs	Establishment of a child labor monitoring system (CLMS)	Institutionalization of child labor and forced labor research (including evaluation and data collection)	Institutionalization of training on child labor or forced labor issues
<b>FY2016</b>						
<b>FY2017</b>						
<b>FY2018</b>						
<b>FY2019</b>						
<b>FY2020</b>						
<b>FY2021</b>						

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

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

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



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

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

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

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

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

Notes:

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## Education Indicators E2, E3, & E4

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

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

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

Reporting period	Number of children provided formal education services		Number of children provided non-formal education services		Number of children provided in vocational services	
	Girls	Boys	Girls	Boys	Girls	Boys
PERIOD 1 1 Oct. 2014 - 31 Mar. 2015						
<b>Completed*</b>						
PERIOD 2 1 Apr. 2015 - 30 Sept. 2015						
<b>Completed</b>						
PERIOD 3 1 Oct. 2015 - 31 Mar. 2016						
<b>Completed</b>						
PERIOD 4 1 Apr. 2016 - 30 Sept. 2016						
<b>Completed</b>						
PERIOD 5 1 Oct. 2016 - 31 Mar. 2017						
<b>Completed</b>						
PERIOD 6 1 Apr. 2017 - 30 Sept. 2017						
<b>Completed</b>						
PERIOD 7 1 Oct. 2017 - 31 Mar. 2018						
<b>Completed</b>						
PERIOD 8 1 Apr. 2018 - 30 Sept. 2018						
<b>Completed</b>						
PERIOD 9 1 Oct. 2018 - 31 Mar. 2019						
<b>Completed</b>						
PERIOD 10 1 Apr. 2019 - 30 Sept. 2019						
<b>Completed</b>						
<b>TOTAL PROJECT ENROLLED</b> Oct. 1 2014 - 30 Sept. 2019	0	0	0	0	0	0
<b>TOTAL PROJECT COMPLETED</b> Oct. 1 2014 - 30 Sept. 2019	0	0	0	0	0	0

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

**Notes:**

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

## Livelihood Indicators L2 and L3 and L4 and L5

L2: Number of adults provided with employment services

L3: Number of children provided with employment services

L4: Number of individuals provided with economic strengthening services

L5: Number of individuals provided with services other than empl

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

Notes:

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## Annex III: Companion to the USDOL Common Indicators

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

### 1. Introduction to the USDOL Common Indicators

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

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

The common indicators are global, in that they are measured by all OCFT-funded projects from FY2010 onward, as applicable.<sup>10</sup> Taken together, the indicators broadly measure the contribution and outcomes of OCFT projects as part of international efforts to combat child labor through education, improved livelihoods, and increased country capacity. Supplemental to these three common indicators, where applicable, projects will report the disaggregation of the specific services they are providing, either using standard sub-indicators or a customized disaggregation designed to capture more specific information about various aspects of a project's work in each of the three areas of education, livelihoods, and capacity building.

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

In addition to reporting on the above common indicators, each project will also be responsible for

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<sup>10</sup> For example, a project offering no direct services would not report on either E1 or L1.

reporting on all project-specific indicators contained in their Performance Monitoring Plans (PMPs), including on the work status of beneficiary children. Results for these indicators must be reported in TPR Annex C (Data Reporting Form).

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

The USDOL education common indicator requires the project to track and record the number of *children* engaged in or at high-risk of entering child labor provided education or vocational services ([E1](#)). In addition, projects will also be required to disaggregate the specific education services provided. Projects may use standard sub-indicators if they are relevant and useful for the project: ([E2](#)) the number children provided formal education services; ([E3](#)) the number of children provided non-formal education services; and ([E4](#)) the number of children provided vocational services. Or, projects may work with the GOR to develop a customized disaggregation of services. Projects must discuss the disaggregation approach with the GOR to determine the best method for the project. In cases where a project elects to develop a customized disaggregation, USDOL also will work with the project to adjust the TPR reporting format accordingly.

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

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

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

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

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

Livelihood service provision will be tracked by recording the number of *households* receiving livelihood services ([L1](#)). In addition, projects will also be required to disaggregate the specific livelihood services provided. Projects may use standard sub-indicators if they are relevant and useful to the project: ([L2](#)) the number of adults provided with employment services, ([L3](#)) the number of children of legal working age provided with employment services, ([L4](#)) the number of individuals provided with economic strengthening services; and ([L5](#)) the number of individuals provided with livelihood services other than employment and economic strengthening. Or, projects may work with the GOR to develop a customized disaggregation of services. Projects must discuss the disaggregation approach with the GOR to determine the best method for the project. In cases where a project elects to develop a customized disaggregation, USDOL also will work with the project to adjust the TPR reporting format accordingly.

*Capacity Building Indicators*

Projects will also report on their efforts to increase a country’s capacity to address child labor or forced labor at the local, regional, national, or sectoral level ([C1](#)). For the purposes of reporting on this

indicator, such efforts include: (1) adaptation of legal framework to meet international labor standards; (2) formulation of policies, plans, or programs to combat child labor or forced labor; (3) inclusion of child labor or forced labor in relevant development, social, and anti-poverty policies and programs ; (4) establishment of a child labor monitoring system; (5) institutionalization of child labor and forced labor research (including evaluation and data collection); and (6) institutionalization of child labor or forced labor training within government agencies.

## 2. Instructions and Definitions to Complete the Common Indicator Spreadsheet

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

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

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

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

<b>Education Indicator E1.1</b>
<b>Number of children trafficked or in commercial sexual exploitation, or at high-risk of being trafficked or entering commercial sexual exploitation, provided education or vocational services</b>

<b>Education Indicator E1.1 CSEC &amp; Trafficked Children</b>
<b>E1.1: Number of children trafficked or in commercial sexual exploitation, or at high-risk of being trafficked or entering commercial sexual exploitation, provided education or vocational services</b>

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

Reporting period		Girls	Boys	Total Children
PERIOD 1 1 Oct. 2011 - 31 Mar. 2012	<b>CAHR Trafficked:</b> Children at High-Risk of being Trafficked.			0
	<b>Trafficked:</b> Children who have been trafficked (not including those in CSEC).			0
	<b>CAHR CSEC:</b> Children at High-Risk of Entering Commercial Sexual Exploitation.			0
	<b>CSEC:</b> Children in Commercial Sexual Exploitation (and not counted as trafficked).			0
	<b>TOTAL Period 1</b>	<b>0</b>	<b>0</b>	<b>0</b>

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

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

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

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

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

**Education Indicators E2, E3, E4**

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

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

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

Education Indicators E2, E3, & E4						
E2: Number of children engaged in or at high-risk of entering child labor provided formal education services						
E3: Number of children engaged in or at high-risk of entering child labor provided non-formal education services						
E4: Number of children in or at high-risk of entering child labor provided vocational services						
Reporting period	Number of children provided formal education services		Number of children provided non-formal education services		Number of children provided vocational services	
	Girls	Boys	Girls	Boys	Girls	Boys
PERIOD 1 1 Oct. 2011 - 31 Mar. 2012						
Completed*						

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

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

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

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

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

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

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

offering of a child for illicit activities in particular for the production and trafficking of drugs; and (D) work which, by its nature or the circumstances in which it is carried out, is likely to harm the health, safety, or morals of children. The work referred to in subparagraph (D) should be determined consistent with international standards, including ILO Recommendation 190, and is generally determined by the laws, regulations, or competent authority of the country involved.

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

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

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

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

be present in case of children (other than with adults), but are nevertheless strong indications of child trafficking.<sup>11</sup>

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

- Prostitution in the streets or indoors, in such places as brothels, discotheques, massage parlors, bars, hotels, restaurants, among others;
- Child sex tourism;
- The production, promotion and distribution of pornography involving children; and
- The use of children in sex shows (public or private).<sup>12</sup>

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

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

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

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

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

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<sup>11</sup> International Labor Organization’s International Program on the Elimination of Child Labor (ILO-IPEC), “Child Trafficking: The ILO’s Response through IPEC”, Geneva, 2007.

<sup>12</sup> UNICEF, *Child Protection Information Sheet: Commercial Sexual Exploitation* (May 2006), available from [http://www.unicef.org/protection/files/Sexual\\_Exploitation.pdf](http://www.unicef.org/protection/files/Sexual_Exploitation.pdf). See also: ECPAT International, *CSEC Definitions*, available from [http://www.ecpat.net/ei/Csec\\_definition.asp](http://www.ecpat.net/ei/Csec_definition.asp). Additional definitional aspects above provided by ILO-IPEC.

In cases where projects elect to develop a customized disaggregation, USDOL will work with the project to craft appropriate definitions and revise the TPR reporting format accordingly.

**Livelihood Indicator L1**

**Number of households receiving livelihood services**

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

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

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

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

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

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

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

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

**Livelihood Indicators L2 and L3 and L4 and L5**

L2: Number of adults provided with employment services

L3: Number of children provided with employment services

L4: Number of individuals provided with economic strengthening services

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

Reporting period	Number of adults provided with employment services		Number of children provided with employment services		Number of individuals provided with economic strengthening services		Number of individuals provided with services other than employment and economic strengthening	
	Female	Male	Girls	Boys	Female	Male	Female	Male
PERIOD 1 1 Oct. 2011 - 31 Mar. 2012								
PERIOD 2 1 Apr. 2012 - 30 Sept. 2012								
<b>TOTAL Fiscal Year 2012</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

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

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

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

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

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

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

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

approved by USDOL.

A **Livelihood** is defined as a means of living, and the capabilities, assets (including both material and social resources, such as, food, potable water, health facilities, educational opportunities, housing, and time for participation in the community), and activities required for it. A livelihood encompasses income, as well as social institutions, gender relations, and property rights required to support and sustain a certain standard of living. It includes access to and benefits derived from social and public services provided by the state, such as education, health services, microfinance, and other infrastructure. Sustainable livelihood programs seek to create long-lasting solutions to poverty by empowering their target population and addressing their overall well-being. USDOL child labor elimination projects focus on ensuring that households can cope with and recover from the stresses and shocks and maintain or enhance present and future capabilities and assets in a way that helps them overcome the need to rely on the labor of their children to meet basic needs.<sup>13</sup>

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

- **Employment services for adults** aim to increase employment, job retention, earnings, and occupational skills of participants. Employment services may include the provision or linkage to employment assistance programs, occupational safety and health training, micro-franchise programs, job placement, apprenticeships and public works programs. For the purposes of reporting on USDOL-funded projects, recipients may report employment services received by **adults**<sup>14</sup> under sub-indicator L2. **Education and training services for adults** will also fall under this sub-indicator. **Education and training services** aim to provide adult participants with the basic skills and knowledge necessary to benefit from social services, financial services, and higher education. Education and training services may include the provision or linkage to life skills, business or leadership training, financial education, and literacy and numeracy programs. Only **adults** may be counted in this category as receiving education and training services. *Children who receive education and training services are to be counted under E1.*
- **Employment services for children of legal working age** aim to increase employment, job retention, earnings, and occupational skills of participants. Employment services may include the provision or linkage to employment assistance programs, business start-up packages, and occupational safety and health training. **Employment services for children do NOT include the provision or linkage to vocational training or apprenticeships as that is captured under E4.** For the purposes of reporting on USDOL-funded projects, recipients may only report employment services received by **children of legal working age** as a livelihood service under sub-indicator E3.
- **Economic strengthening services** aim to increase the economic well-being of participants. Economic strengthening services may include the provision or linkage to micro-credit/loan programs, productivity transfers, cooperatives, and consumption smoothing services. For the purposes of reporting on USDOL-funded projects, recipients may report economic strengthening services received by **adults and children of legal working age** as livelihood services under sub-indicator L4 [as noted below, children under age 18 may not receive microcredit/loans].
  - **Linkage to micro-credit or loan programs** means providing target groups with access to financial services via linkages or through a network/association of small-scale finance providers. USDOL-funded projects must assess and safeguard against possible negative

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<sup>13</sup> Chambers and Conway, 1992, and Masanjala, 2006, see also [http://pdf.usaid.gov/pdf\\_docs/PNADR399.pdf](http://pdf.usaid.gov/pdf_docs/PNADR399.pdf)

<sup>14</sup> A legal **adult** is a person who has attained the age of 18.

impacts of micro-finance on the livelihoods of target beneficiaries or other possible unintended consequences such as the potential of encouraging child labor. ***Under USDOL-funded projects, children under age 18 may not receive any micro-credit/loan services, though they may receive other micro-finance services.***

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

### **Livelihood Indicator L2**

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

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

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

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

### **Livelihood Indicator L3**

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

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

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

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

### **Livelihood Indicator L4**

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

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

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

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

### **Livelihood Indicator L5**

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

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

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

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

In cases where projects elect to develop a customized disaggregation, USDOL will work with the project

to craft appropriate definitions and revise the TPR reporting format accordingly.

### **Country Capacity Indicator C1**

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

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

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

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

#### **Guidance on counting increased capacity:**

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

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

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

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

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

Examples of Country Capacity activities follow in the table below.

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

CLMS.

- A CLMS covering various forms of child labor at the national level;
- A CLMS covering various forms of child labor at the local level;
- A CLMS in any formal or informal sector, urban or rural; or

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.

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

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

**6. Institutionalization of training on child labor or forced labor issues**

Examples of progress in this area include the following:

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

## Annex IV: Project Revision Form

*Template recommended for use.*

### PROJECT REVISION FORM

Project Title:

Recipient:

Cooperative Agreement Number:

USDOL Appropriation Number:

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

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

### BACKGROUND AND JUSTIFICATION FOR PROJECT REVISION

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

**EFFECTS OF REVISION ON THE PROJECT**

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

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

**SUPPORTING DOCUMENTS**

*Include additional documents to justify this revision request, such as SF-424 and SF-424A, resume, salary level, and fringe benefits of proposed key personnel, current status of results against project indicators, or updated work plan. In addition, budget revision requests must include a revised detailed output-based budget showing current and proposed line item allocations, and the Budget Revision Summary Sheet (see below). Include a budget narrative, as applicable.*

### BUDGET REVISION SUMMARY SHEET

Project Title:

Recipient:

Cooperative Agreement Number:

USDOL Appropriation Number:

#### COMPARISON OF BUDGETS

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

*Sample Budget Summary Table*

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

#### EXPLANATION OF CHANGES

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

**Salary and Fringe:** No change

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

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

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

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

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

**Printing:** No change

**Other Direct Costs:** No change

## Annex V: Federal Financial Report (sample)

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

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

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

**Paperwork Burden Statement**

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

## Annex VI: Information on Funding to Host Country Governments and/or to Subawards

*Template recommended for use.*

*Recipients must submit this table to the GOR within four months of award for approval, if applicable. Recipients must also submit this table, at any point during the project implementation period, prior to any subaward and/or prior to providing funds to a Government Agency. See Section IV.2.2 for more information on applicability. The status of approved subawards and/or funding to a Government Agency must be reported on in the semi-annual TPRs.*

Funding to Host Country Governments and/or to Subawards					
Name of Project:					
Project number: IL-XXXXX					
Organization or Government Agency	Outcome	Output	Activities	Budget in USD	Assessment & Justification

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

*Recipients must maintain equipment and property records for all items purchased with federal funds (including items purchased by subrecipients), updated and submitted to the Grant Officer at least every two years, and must submit this table to the GOR at least 120 days prior to the end of the Cooperative Agreement period for project closeout.*

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

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

## Annex VIII: Baseline and Follow-up Survey Guidance

Recipients of the Office of Child Labor, Forced Labor and Human Trafficking (OCFT) at the U.S. Department of Labor whose projects involve direct services (including referrals) to beneficiaries are required to budget for and procure independent contractors to conduct and analyze area-based prevalence baseline and follow-up surveys in the project's target areas, in order to help evaluate the outcomes of projects' efforts. This document provides more detailed guidance on these prevalence survey requirements, including the purpose of these studies, the minimum expectations for the types of data that should be collected, and other sampling and analytical requirements. While the baseline and follow-up surveys may include a variety of qualitative and quantitative data-gathering activities, including key informant interviews, focus groups, establishment surveys, and capacity assessments, this guidance primarily focuses upon requirements for the household-based prevalence survey component. Surveys focused on Forced Labor or the Worst Forms of Child Labor other than hazardous child labor may use different methods and be subject to different requirements given the sensitive nature of the information to be gathered; recipients should consult OCFT on how to proceed for projects that work in these areas. It should also be noted that other types of qualitative surveys and Knowledge, Attitudes, and Practices (KAP surveys) do not qualify as baseline and follow-up surveys as defined in this guidance; in these cases, USDOL will provide specific guidance to the recipient.

This guidance is part of the Management Procedures and Guidelines (MPG) and is therefore binding. Recipients should consider this guidance to be the beginning of an ongoing consultation between project staff and OCFT to develop a high-quality methodological approach for baseline and follow-up surveys, and should consult with OCFT through the planning and implementation of their surveys.

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

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

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

A **follow-up survey**, or **endline survey** provides another snapshot of a situation after an intervention has been implemented. For OCFT projects, this means the collection and analysis of comparable prevalence data on child labor to that collected in the baseline. The follow-up survey is a repetition of the baseline survey, which may be modified as relevant, that allows the recipient to assess changes in the prevalence of child labor or forced labor and other socio-economic trends to help understand possible impacts<sup>15</sup> of project interventions. In most cases, the follow-up survey will take place

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<sup>15</sup> Without a valid control group, we cannot definitively attribute changes in the situations of project beneficiaries to project efforts, but we can provide evidence that assesses the extent to which the project's target area experienced change.

towards the end of the project, as per MPG requirements.

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

OCFT requires both baseline and follow-up surveys to support improved understanding of the outcomes of project activities, and specifically, to understand changes in prevalence of child labor or forced labor in project areas (as opposed to regional or national surveys). The baseline and follow-up data can also be used to assess changes in other key variables in the project area population that occur during the life of the project. Analysis of baseline and follow-up data will help answer the following questions:

- What changes in the prevalence and nature of child labor (or forced labor) occurred in project areas during the project? For example, what is the percentage change in the number of children engaged in child labor (or adults engaged in forced labor) from the beginning to the end of the project? Are fewer children involved in hazardous work?
- What changes did the population experience during the project period related to project goals and child labor (or forced labor)? Were there changes in educational status of children or families' socio-economic status? For example, what is the percentage change in school attendance among children in project areas? What types of household, caregiver, and child characteristics are associated with child labor? For example, in those households where children stopped engaging in child labor between the baseline and follow-up survey, did certain characteristics of individuals and households change over the course of the project? Were these characteristics related to project activities and goals (awareness, educational attendance, income, livelihoods, etc.)?

In addition to the above, the prevalence surveys generate a wealth of data on children and families in target areas that may be used by governments to develop targeted services, by projects for advocacy purposes and by academics and other researchers for further analysis. For these reasons, all reports and datasets will become publicly available.

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

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

- Estimate the prevalence of legally working children, child labor, hazardous child labor and other Worst Forms of Child Labor (WFCL), or forced labor, as applicable, in project areas to help project management understand the extent of the problem and further target project efforts (disaggregated by gender and age);
- Provide baseline values of key indicators and area population characteristics: for example, benchmark estimates on work status and educational status of area children, and profiles of relevant household characteristics of families with children engaged in, or at high risk of, child labor, such as the socio-economic status of beneficiary households;
- Provide context-related information to plan interventions and assess project results; and
- Assess other areas, such as attitudes towards child labor (forced labor), as well as any additional OCFT required indicators.

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

Baseline activities may be used to identify potential beneficiary populations, but the primary purpose of the survey should be to estimate the prevalence and nature of child labor (forced labor) in targeted

areas.

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

- Establish a benchmark for the prevalence and nature of child labor (or forced labor) for project areas;
- Develop reliable project targets and generate understanding that a sufficient problem exists to target the area with project activities;
- Analyze the socio-economic profiles of households to understand the relationship of certain characteristics with children engaged in child labor (or adults in forced labor);
- Establish benchmarks on the socio-economic status (especially that of education and livelihoods) of area children and families and other key household characteristics; and
- Refine project design and activities, including the identification and development of relevant services to direct beneficiaries.

Recipients may also find the survey data useful in identifying and profiling potential beneficiaries. However, recipients should plan to collect full profiling data needed for all beneficiaries during the project's intake process and ongoing monitoring data through the Direct Beneficiary Monitoring System (DBMS) throughout project life.

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

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

- The prevalence of legally working children, child labor, hazardous child labor and other WFCL (or forced labor) where applicable, in project areas;
- Values of key indicators and area population characteristics: for example, the working and educational status of children, and relevant household characteristics or profiles of families with children engaged in, or at high risk of, child labor, such as the socio-economic status of households;
- The socio-economic profiles of households to understand the relationship of certain characteristics with children engaged in child labor;
- Context-related information to assess project results and to help understand successes and challenges;
- Other areas, such as attitudes towards child labor, as well as any additional OCFT required indicators.

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

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

***Required baseline data.*** At a minimum, all recipients must implement a post-award baseline survey that collects age and gender disaggregated data on children's activities related to child labor in target

areas and sectors, including:

- Estimates of the prevalence of legally working children, child labor, hazardous child labor, and other WFCL (or forced labor) where applicable in project areas, including type of work or activities, hazards to which children are exposed in this work, hours and time of day of work, disaggregated by age and gender;
- Prevalence data for key indicators and area population characteristics: for example, benchmark estimates on work status and educational status of children and adults,; and profiles of relevant household demographic characteristics of families with children engaged in, or at high risk of, child labor, such as the socio-economic status and living conditions of beneficiary households to help develop and target livelihood services;
- Context-related information identified as critical in the CMEP to plan interventions and assess project results; and
- Other data, such as attitudes towards child labor, as well as any additional OCFT required indicators.

Applicants should have conducted a pre-award needs assessment, which should be used to inform additional baseline data collection. Recipients should refer to the cooperative agreement and Management Procedures and Guidelines and SGA for guidance on creating project-specific definitions of key concepts, such as ‘child labor’, ‘hazardous child labor’ and ‘children at high risk of child labor’. These definitions, at a minimum, must include the appropriate age ranges of children, their activities, hazards to which they are exposed (as appropriate) and the time of day/night in which activities are conducted. OCFT can provide further guidance upon request.

***Required follow-up data.*** The follow-up survey is essentially a repeated – and only minimally modified as necessary – baseline survey. The sampling methodology and data collected by the follow-up will therefore be very similar to that of the baseline. While the survey must be designed to collect prevalence data, recipients may also wish to survey a panel of baseline respondents who became project beneficiaries in order to help understand project impacts on beneficiaries.

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

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

- The survey provides estimations of the prevalence of legally working children, child labor, hazardous child labor, as well as other WFCL (or forced labor of adults), where applicable, in project areas;
- communities targeted for survey have been pre-identified as having, or being at risk for, child labor through the required needs assessment or another exercise;
- the survey firm outlines and adheres to strict ethical guidelines to ensure the protection of human subjects;
- information is both reliable and valid;
- information is easily assessable and analyzable;
- information is correctly stored in appropriate, secured databases; and
- information collected informs project strategy.

Projects must use a probabilistic sample methodology to assess the prevalence of legally working children, child labor, hazardous child labor, and other WFCL (or forced labor of adults), as applicable, in project areas. Projects may also integrate a panel survey designed to assess the status of

a selection, or sample, of beneficiaries at the beginning and end of the project (through the baseline and follow-up surveys) in order to provide evidence of change experienced by specific project beneficiaries throughout the life of the project, or more detailed evidence supporting project impacts on beneficiaries. Panel data may also be useful for developing case studies for use in outreach efforts. See Section 10 for further guidance on sampling methodology.

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

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

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

***Follow-up Survey.*** Recipients should conduct the follow-up survey towards the end of the project, and analysis reports must be submitted with ample time for OCFT review and approval per project's General Timetable of Deliverables. If available, this data and report should be provided to the external evaluator conducting the project's final evaluation.

***Recipients also should refer to the General Timetable of Deliverables for specific parameters regarding when baseline and follow-up survey activities must take place and corresponding deliverables must be submitted.***

## 8. How should recipients work with OCFT to implement baseline and follow-up surveys?

OCFT will provide support to ensure that recipients meet the guidance outlined in this document through written feedback, phone calls, and the provision of examples.

***Prior to moving forward with the implementation of the baseline and follow-up surveys, recipients should allocate time (1-3 weeks, to be determined in consultation with OCFT for each deliverable) for OCFT review and approval of key documents, including but not limited to:***

- ***Terms of Reference, and***
- ***Survey (Baseline or Follow-up) Methodology Package, including:***
  - ***Project definitions of child labor (developed as a part of the CMEP);***
  - ***Document outlining survey methodology, sampling framework, training plan, pre-test plan, and overall survey timeline (developed as a part of the CMEP);***
  - ***Survey instruments;***

- *Crosswalk between definitions and survey instrument; and*
- *Enumerator manuals.*

While adhering to timing requirements as outlined in the General Timetable of Deliverables, recipients should plan to draft and submit these deliverables to OCFT for approval in the general order listed above. For example, project definitions of child labor should be finalized prior to developing survey instruments and enumerator training manuals. OCFT encourages recipients to share the survey plan, enumerator training manuals and survey instruments to OCFT for review after the survey contractor has edited or drafted the documents to provide technical input. However, recipients should be sure to allow time for up to several revisions to ensure that deliverables adhere to the minimum standards required, before enumerator training, survey pre-testing and fieldwork can begin. Recipients should use and preserve track changes for all deliverable revisions with OCFT to facilitate quicker reviews. OCFT may request to review additional survey-related documents and products.

In addition, a similar review timeframe of 1-3 weeks will be established for OCFT review and approval of the Survey and Dataset Report Package. For these deliverables, recipients also should plan to allocate time for up to several revisions based on OCFT feedback, while still adhering to the timing requirements for this deliverable as outlined in the General Timetable of Deliverables.

## **9. What is the budget for baseline and follow up surveys?**

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

Baseline and follow up survey costs can vary greatly depending on factors such as the cost of data collection contractors, the size of the area covered, the sampling methodology used, and other factors. In budgeting staff time and resources, remember that the majority of effort for development and pre-testing of the baseline and follow-up survey instruments will come during the development of the baseline, as the follow-up survey should very closely mirror that used for the baseline to ensure that data collected is comparable. Still, projects should plan for contractors to rigorously pre-test the survey instrument before the baseline survey. Whenever possible, the same contractor should be used for the baseline and follow-up surveys. Projects may want to include the development of the CMEP section on baseline and follow-up surveys in the contractor's terms of reference.

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

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

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

1. Electronic files with all raw data – two copies – in SPSS, STATA or other format:
  - a. Micro-data files, including survey weights, for public use in English;

- b. Identifiers to link adult and child responses belonging to the same household;
  - c. Table of survey response rates – full, partial non-response, etc.
2. Log of analyses carried out during data analysis and report writing phase prior to learning/debriefing workshop:
  - a. Public-use datasets, data dictionaries, syntax files, and any other materials required for data analysis;
  - b. Data crosswalks that present which survey items were used to code variables for analysis;
  - c. Draft tables (dummy tables) to present findings from data analysis;
  - d. Final report outlines, including report content, format and data presentation.
3. Electronic copies of *draft and final reports* in English which must include, but is not limited to the following sections:
  - a. Executive summary;
  - b. Background;
  - c. Objectives and research questions, including relevant child labor and key constructs/definitions used;
  - d. Survey Methodology (to include project/survey locations, sampling design and sample size; questionnaire design and development; training; pre-test results; field work; data entry and processing (including data quality assurance processes); response rates and weighting; reliability of estimates (design effects and standard errors); data analysis procedures; limitations to the study);
  - e. Results presented in narrative and tables/graphs showing clearly prevalence estimates for child labor and required indicators at a 95 percent confidence interval, presenting standard errors and coefficients of variation, disaggregated by gender and age; for the follow-up report, these results should analyze changes from baseline to follow-up for key variables;
  - f. Conclusions;
  - g. Annexes (to include references, tables and figures, questionnaires and other data collection instruments, training content for enumerators, pre-testing process and results, including contractor’s follow-up to adjust survey as needed, etc.).

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

### Research Design and Measurement Framework:

1. Methodology: Baseline and follow-up surveys must be implemented with the appropriate research design and measurement framework. Surveys must include a probabilistic sample methodology to assess prevalence of legally working children, child labor, hazardous work, and other WFCL (or forced labor of adults), where applicable. The ILO has developed an interactive sampling tool that may be useful, available [here](#).<sup>16</sup> Projects may choose to use a sampling framework that provides overall estimates of child labor for the total project area, or one that provides both overall estimates and estimates for specific areas (e.g. municipalities, regions, communities, etc.). The methodology may also include a panel study to examine changes experienced by respondents who become beneficiaries between the baseline and follow-up surveys. If integrating a panel study, recipients should consider the impacts that project context and respondents’ varying exposure rates to project interventions may have on data, and should propose appropriate

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<sup>16</sup> Full link text: [http://www.ilo.org/ipecc/ChildlabourstatisticsSIMPOC/Manuals/WCMS\\_304559/lang--en/index.htm](http://www.ilo.org/ipecc/ChildlabourstatisticsSIMPOC/Manuals/WCMS_304559/lang--en/index.htm)

stratification of the sample for the survey sampling and analysis. For example, projects may want to stratify the sampling frame based upon the type of interventions a beneficiary receives (different education interventions may have different purposes, and may be assessed in different strata), or based upon the length of time in which individuals are exposed to project services (stratification by length of received services or by beneficiaries' project intake date; i.e. stratification of year one beneficiaries, year two beneficiaries, etc.)

For the prevalence surveys, survey implementers must specify the intended research/survey design, including sampling methodologies and justification of any stratification, and propose a measurement framework. Plans should include replacement protocols for respondent follow-up (with three attempts to contact respondents) and include plans for collecting good contact details for panel respondents (i.e. neighbors' or relatives' contact information in the event that the respondent moves prior to the follow-up survey). Survey implementers should plan to directly interview all children of the appropriate age range (5-17) in households selected for interview. Recipients should consult with OCFT to review the sampling strategy and any stratification justification. Survey implementers should make use of and improve upon existing internationally-recognized research methodologies that have been developed for this purpose, including those of the ILO, UNICEF and World Bank, among others.<sup>17</sup> Recipients should also consult with OCFT on specific sampling, design, and measurement requirements for each specific project.

2. Definitions: OCFT provides a guide to aid projects in developing definitions, and recipients should refer to this document for more detailed guidance while developing definitions. Projects must develop clear definitions of key constructs such as legally working children, child labor, hazardous work and activities, WFCL (or forced labor of adults), where applicable, and children at high risk of child labor. These definitions must be based upon the international framework as laid out by ILO Conventions 138 and 182 (C.29 and C.105 for forced labor), as well as national legal frameworks. Contractors should also refer to the ILO's International Conference of Labor Statistician (ICLS) guidelines for the most recent guidance.<sup>18</sup> Definitions used for surveys also should be consistent with those developed as part of the CMEP process. Upon development of the survey instrument, recipients should provide OCFT with an update to the definitions that includes a crosswalk with the survey; in other words, a version of the definitions that includes, line by line, which survey question(s) gathers the data for that definition line, in order to ensure that the definitions are fully captured by the survey.

3. Questionnaire design: Key construct definitions should be supplied to baseline and follow-up survey contractors to be used in developing the survey questionnaires and analysis plans. Survey contractors must operationalize these key constructs (e.g., legally working children, child labor, hazardous work, working hours, workplace hazards) related to child labor or forced labor in the target sector or area. Questionnaires must

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<sup>17</sup> ILO, Statistical Information and Monitoring Program on Child Labor (SIMPOC) <http://www.ilo.org/public/english/standards/ipecc/simpoc/index.htm>. See also UNICEF, Multiple Indicator Cluster Survey (MICS), [http://www.unicef.org/statistics/index\\_24302.html](http://www.unicef.org/statistics/index_24302.html). See also World Bank, Living Standards Measurement Study (LSMS), <http://econ.worldbank.org/WBSITE/EXTERNAL/EXTDEC/EXTRESEARCH/EXTLSMS/0,,contentMDK:21610833~pagePK:64168427~piPK:64168435~theSitePK:3358997,00.html>. See also Understanding Children's Work, <http://www.ucw-project.org/>.

<sup>18</sup> ILO, Resolution on Child Labour Statistics, <http://www.ilo.org/ipeccinfo/product/download.do?type=document&id=13794>

fully capture definitions to allow reporting on required indicators. Questionnaires should be tailored to the country or area context and respondent profile (including developing questions appropriate for children), and pre-tested thoroughly to minimize biases. Where possible, these pre-testing procedures should include cognitive interviews to assess the validity of the survey instrument. The survey instruments should be designed so that data collected can be analyzed by both ICLS definitions and the national legal framework definitions, should they differ. Projects' definitions of key constructs should be used to design appropriate questionnaire modules on child labor.

4. Sampling: Projects may use the ILO sampling tool<sup>19</sup> to help assess likely costs for the survey, but should have potential contractors demonstrate sampling capacity in their applications. The sampling methods used must allow contractors to develop reports that provide estimates of project target area population, not descriptive statistics, for the core indicators on child labor provided by OCFT. Survey implementers must calculate differences in the number and percentage changes of children legally working, in child labor, in hazardous work, and in the WFCL where applicable, in project areas, from the beginning to the end of the project. recipients must work in consultation with OCFT to determine the different types of statistical analyses and the required statistical tests to be performed for evaluating the estimates. At minimum, standard errors, coefficients of variation, and 95 percent confidence intervals should be calculated for prevalence estimates.

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

The contractor should have capacity to make use of and improve upon existing internationally-recognized research methodologies and analysis as outlined above, as well as knowledge of the local area and experience with interviewing children. Ideally, the project would use the same contractor for baseline and follow-up surveys to take advantage of institutional learning and personnel capacity built during the baseline. It should be clear that both the baseline report and de-identified data sets will be publicly available on the internet and shared with other researchers upon request.

Applicants' Proposals should include:

- Overall methodological research design, including training, pre-testing and field testing procedures,
- Sampling plan/framework;
- Field/Data collection organization and plans for protocols;
- Examples of data collection tools for both quantitative and qualitative components;
- Plan for data storage and security;
- Draft data analysis plan, including dummy tables for required indicators disaggregated by gender and age;
- Template consent form for key informants, Parental Permission Forms for parents and guardians, and Assent Forms for any children under the age of 18, plan for protection of human subjects and IRB approval process;
- Work-plan and schedule
- Proposed budget

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<sup>19</sup> [http://www.ilo.org/ipec/ChildlabourstatisticsSIMPOC/Manuals/WCMS\\_304559/lang--en/index.htm](http://www.ilo.org/ipec/ChildlabourstatisticsSIMPOC/Manuals/WCMS_304559/lang--en/index.htm)

Projects should ensure that contractual agreements are structured so that the project can submit the minimum requirements outlined in Section 10. OCFT recommends that projects require the following deliverables:

1. Approved methodology, including sampling design, pre-testing and training plans, and work plan;
2. Pre-test survey instrument and brief report of findings and changes resulting from pre-testing activities;
3. Final survey tools, instruments, data analysis plan, consent, parental permission and assent forms and protocols used during the baseline/follow-up assessment;
4. Training content of required number of enumerators, supervisors, and data entry staff;
5. Field manual with protocol and implementation plan for survey team, enumerators/data collectors, and supervisors;
6. Approval from relevant Institutional Review Boards when required by country law;
7. Data collection plan and locations: dates, teams, supervision, etc.;
8. Electronic and hard files with all raw data – two copies – in SPSS or other format:
  - a. Micro-data files, including survey weights, for public use in English;
  - b. Identifiers to link adult and child responses;
  - c. Table of response rates – full, partial non-response, etc.
9. Log of analyses carried out during data analysis and report writing phase prior to learning/debriefing workshop:
  - a. Public-use datasets, data dictionaries, syntax files, and any other materials required for data analysis;
  - b. Data crosswalks that present which survey items were used to code variables for analysis;
  - c. Draft tables (dummy tables) to present findings from data analysis, including, at a minimum, tables of the required indicators provided by OCFT presented by both ICLS and national definitions, if they differ, and disaggregated by age and gender;
  - d. Final report outline, including report content, format and data presentation.
10. An electronic copy of the ***draft report*** in English which must include, but is not limited to the following sections:
  - a. Summary;
  - b. Background;
  - c. Objectives of the survey and research questions, including relevant child labor and other key constructs/definitions used;
  - d. Survey Methodology (to include project/survey locations, sampling design and sample size; questionnaire design and development; training; pre-test results; field work; data entry and processing(including data quality assurance processes); response rates and weighting; reliability of estimates (design effects and standard errors); data analysis procedures; limitations to the study);
  - e. Results presented in narrative and tables/graphs showing clearly prevalence estimates for child labor and required indicators at a 95 percent confidence interval, presenting standard errors and coefficients of variation, disaggregated by gender and age; for the follow-up report, these results should analyze changes from baseline to follow-up for key variables;
  - f. Conclusions;
  - g. Annexes (to include references, tables and figures, questionnaires and other data collection instruments, training content for enumerators, pre-testing process and results, including contractor’s follow-up to adjust survey as needed, etc);
11. Two printed copies and an electronic of the ***final report*** in English which takes into consideration input, feedback and comments on the draft report.

Recipients may also want to ask survey contractors to develop the baseline and follow-up survey

section of the CMEP.

### **13. Human Subjects Study Requirements**

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

The baseline/follow-up contractor should have staff trained in the protection of human subjects during research, and **proposals or bids from sub-contractors for the baseline should include a plan for the protection of human subjects.** Adult and child interviews should be non-invasive and all answers must be kept confidential. The baseline/follow-up implementer should also have a plan for dealing with potential cases of the other Worst Forms of Child Labor that may be identified in the course of field work. The surveyors or enumerators should be trained in how to address adverse events and problems as part of the interviewer training sessions.

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

Informed consent and assent forms must be used for all adult and child respondents, and the contents of informed consent/assent forms will be explained verbally before the start of the interview. Informed consent/ assent form, and accompanying verbal explanation, should contain a sufficient amount of detail about the survey exercise so the respondent can make an informed decision about participation.

No child under 18 years of age will be interviewed without both caregiver and child agreeing to the child being interviewed. Caregivers will sign the consent form or provide verbal consent. Assent will be obtained verbally from children and recorded by the surveyors. Literate children may also sign the assent form. The surveyor will explain to the child in simple language the general purpose of the research, the contents of the interview, the interviewing process, and that choosing to participate or not participate will not affect whether they receive any future benefits or services. It will also be explained to the child that participation is voluntary and confidential and that he/she may interrupt or discontinue the interview at any time. He/she may also skip questions or entire sections of the interview. The child may choose not to participate in the research even if the child's caregiver agrees to the child being interviewed. It will finally be explained that the child's responses will not be shared with any other person in the community, including the caregiver, at any point of time. The contractor should plan to interview all children individually.

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

### **14. Are any resources available to help recipients design and implement the baseline?**

Yes. See the International Labor Organization's [website](#)<sup>20</sup> for resources, including sample child labor questionnaires for adults and children, an interactive sampling guide<sup>21</sup>, and data collection guidance manuals that should be adapted for local contexts. OCFT provides a specific guide to help projects create measurable definitions from the national and international legal frameworks, as well as a list of standard indicators that represent the minimum reporting requirements of the survey. J-PAL and Innovations for Poverty Action have a practical guide for Stata data coding and management to create reproducible and PII-free data sets.<sup>22</sup> Recipients may contact OCFT project managers to request technical assistance from the OCFT Monitoring and Evaluation team at any time.

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<sup>20</sup> <http://www.ilo.org/ipec/ChildlabourstatisticsSIMPOC/lang--en/index.htm>, For manuals and tools, visit:  
<http://www.ilo.org/ipec/ChildlabourstatisticsSIMPOC/Manuals/lang--en/index.htm>

<sup>21</sup> [http://www.ilo.org/ipec/ChildlabourstatisticsSIMPOC/Manuals/WCMS\\_304559/lang--en/index.htm](http://www.ilo.org/ipec/ChildlabourstatisticsSIMPOC/Manuals/WCMS_304559/lang--en/index.htm)

<sup>22</sup> <https://www.povertyactionlab.org/node/20822>

## Annex IX: Required Outcome Indicators

The recipient is required to include the following outcome indicators in the project CMEP, as applicable. OCFT will assist the recipient in determining which indicators are applicable for the CMEP, and will provide further guidance during the CMEP process. This list is subject to change up to the start of the CMEP process.

- Percentage of livelihood beneficiary households with at least one child engaged in child labor
- Percentage of livelihood beneficiary households with at least one child engaged in hazardous child labor (if applicable)
- Percentage of livelihood beneficiary households with at least one child engaged in worst forms of child labor other than hazardous labor (if applicable)
- Percentage of livelihood beneficiary households with all children of compulsory school age attending school regularly (“Compulsory school age” and “attending school regularly” are to be defined in accordance with national definitions/benchmarks)
- Percentage of beneficiary children engaged in child labor
- Percentage of beneficiary children engaged in hazardous child labor (if applicable)
- Percentage of beneficiary children engaged in worst forms of child labor other than hazardous labor (if applicable)
- Percentage of beneficiary children who regularly attended any form of education during the past six (6) months