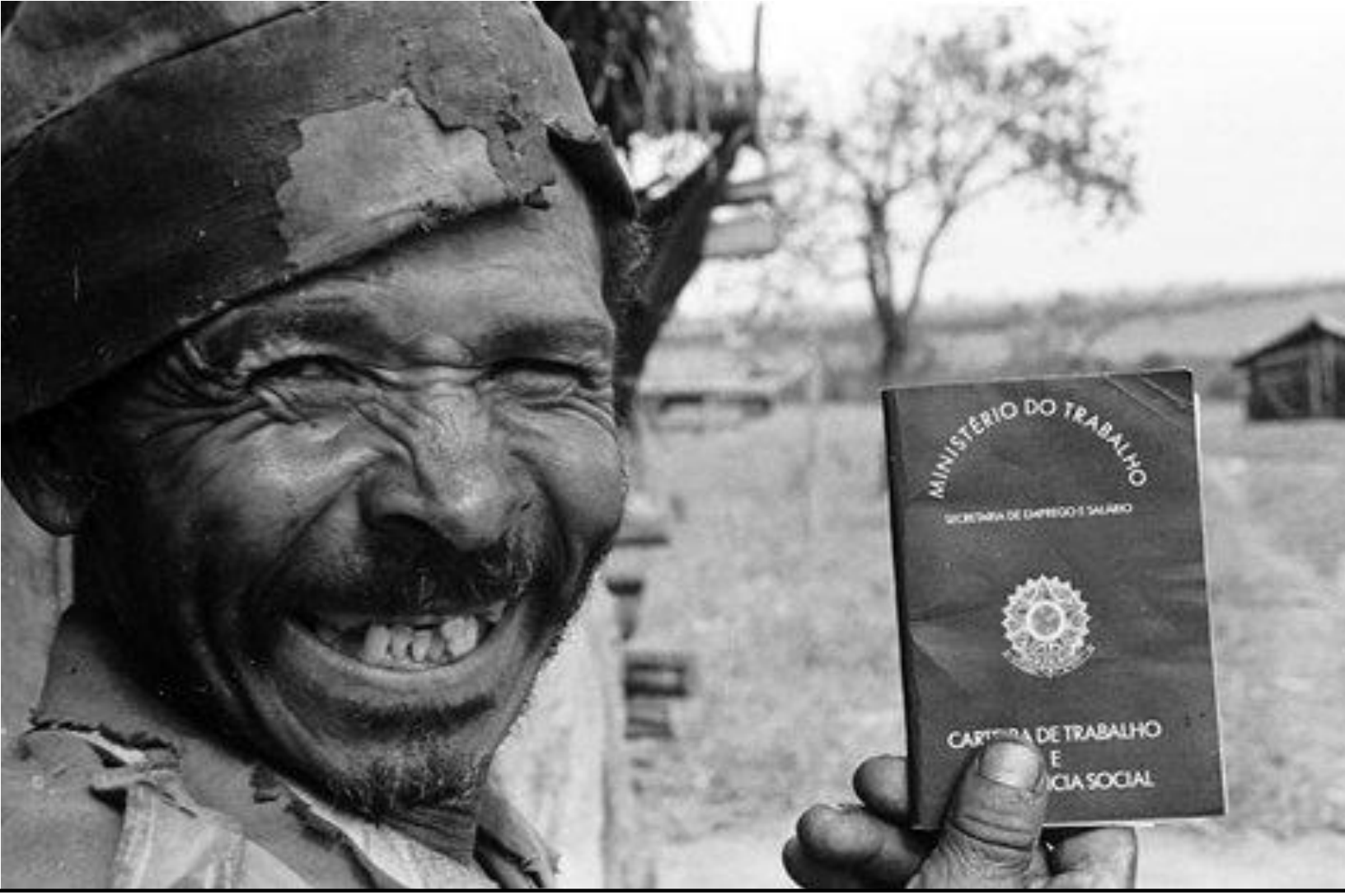

CONTRIBUTE TO THE REDUCTION OF FORCED LABOR IN BRAZIL AND PERU

2012 - 2016

Comprehensive Monitoring and Evaluation Plan

February 2015

Implemented by
International Labour Organization - ILO

Funded by
U.S. Department of Labor - USDOL

Consolidating and Disseminating Efforts to Combat Forced Labor in Brazil and Peru

Comprehensive Monitoring and Evaluation Plan

Implemented By:

International Labour Organization

Project Period:
Dec. 2012 – Dec. 2016

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ACRONYMS

ABC	Agencia Brasileira de Cooperação, *Brazilian Cooperation Agency*
CATP	Central Autónoma de Trabajadores del Perú, *Autonomous Workers' Central of Peru*
CMEP	Comprehensive Monitoring and Evaluation Plan
CNA	Confederação Nacional da Agricultura, *Employer's National Agriculture Confederation*
CNI	Confederação Nacional da Indústria, Employer's *National Industry Confederation*
CNLCTF	Comisión Nacional para la Lucha Contra el Trabajo Forzoso, *National Commission for the Fight Against Forced Labor*
COETRAE	Comissão Estadual para a Erradicação do Trabalho Escravo, *State Commissions for the Eradication of Forced Labor*
CONATRAE	Comissão Nacional para a Erradicação do Trabalho Escravo, *National Commission to Eradicate Forced Labor*
CONFIEP	Confederación Nacional de Instituciones Empresariales Privadas, *National Confederation of Private Enterprises*
CONTAG	Confederação Nacional dos Trabalhadores na Agricultura, *National Confederation of Workers in Agriculture*
CPT	Comissão Pastoral da Terra, *Pastoral Land Commission*
CRAS	Centro de Referência de Assistência Social, *Social Assistance Reference Center*
CREAS	Centro de Referência Especializado de Assistência Social, *Social Assistance Specialized Reference Center*
CSR	Corporate Social Responsibility
CUT	Central Única dos Trabalhadores, *Unified Workers' Central Union*
DBMS	Direct Beneficiary Monitoring System
FO	Field Officer
HQ	Headquarter
IAP	Integrated Action Program
IBGE	Instituto Brasileiro de Geografia e Estatística, *Brazilian Institute of Geography and Statistics*
ILC	International Labor Conference
ILO	International Labor Organization
IO	Intermediate Objective
IPEA	Instituto de Pesquisa Econômica Aplicada, *Institute of Applied Economic Research*
IT	Information and Technology
M&E	Monitoring and Evaluation
MIS	Management Information System
MPT	Ministério Público do Trabalho, *Labor Prosecutions Office*
MTPE	Ministério de Trabajo y Promoción del Empleo, *Ministry of Labor and Employment Promotion*
MTE	Ministério do Trabalho e Emprego, *Ministry of Labor and Employment*
NGO	Non-Governmental Organization

OCFT	Office of Child Labor, Forced Labor, and Human Trafficking
PD	Project Director
PMP	Performance Monitoring Plan
PNAD	Pesquisa Nacional por Amostra de Domicílios, *National Survey on Household Sample*s
PO	Project Officer
RETA	Base de datos manejada por el Ministerio del Interior de Perú, *Database managed by the Ministry of Interior of Peru*
SAP/FL	Special Action Program to Combat Forced Labor - ILO
SINAIT	Sindicato Nacional dos Auditores Fiscais do Trabalho, *National Labor Inspectors Trade Union*
SRTE	Superintendência Regional do Trabalho e Emprego, *Regional Labor Bureau*
"S" System	Vocational Training National Service in Brazil
SUNAFIL	Superintendencia Nacional de Fiscalización Laboral, *National Labor Inspection Bureau*
ToC	Theory of Change
TPR	Technical Progress Report
USDOL	United States Department of Labor

INTRODUCTION

A. Project Objective, Intermediate Objectives, Beneficiaries, and Timeline

The project "Consolidating and Disseminating Efforts to Combat Forced Labor in Brazil and Peru" (referred to as the project) is a USD 6 million[1] technical cooperation trilateral initiative funded by the USDOL, and implemented by the ILO, with the support of national counterparts, in Brazil and Peru. The project's overall developmental objective is to **consolidate efforts to combat forced labor in Brazil and Peru,** through the effective implementation of the five intermediate objectives (IO) summarized below:

> **IO1: Knowledge-base and awareness on forced labor improved among Brazilian key stakeholders and target groups;**
>
> **IO2: Increased social dialogue and institutional capacity for public policy implementation at the national and state levels in Brazil;**
>
> **IO3: Increased engagement of the private sector and employers' organizations to combat forced labor in Brazil;**
>
> **IO4: IAP livelihood intervention strengthened and better positioned to reduce socio-economic vulnerability of groups susceptible to forced labor in project's intervention area.**
>
> **IO5: Improved policies to combat forced labor in Peru.**

Given the intermediate objectives nature, the project will target key government and non-governmental institutions as beneficiaries of institutional strengthening, knowledge generation and capacity development initiatives in Brazil and Peru.

In Brazil, the project will target the following institutions:

- National Commission for the Eradication of Forced Labor (CONATRAE);
- State Commissions for the Eradication of Forced Labor (COETRAEs);
- National Pact for the Eradication of Forced Labor in Brazil (InPACTO);
- State governments developing local strategies to eradicate forced labor.

In Peru, the key target group consists of the following institutions:

- National Commission for the Fight Against Forced Labor (CNLCTF);
- Ministry of Labor and Employment Promotion (MTPE);
- National Labor Inspection Superintendence (SUNAFIL).

Complementarily to the work performed to promote institutional strengthening, social dialogue, knowledge generation, and capacity development, the project will target direct beneficiaries in Brazil. The project aims at supporting 650 individuals and 500 households, including workers

[1] The project budget allocates USD 5,365,685 for activities to be developed in Brazil, and USD 634,315 for activities to be carried out in Peru.

rescued from forced labor situations by the mobile inspection units, and adults vulnerable to being recruited into forced labor mainly in the state of Mato Grosso, where the project will develop its livelihood component linked with intermediate objective number 4.

Although not directly targeted by the project, children found under forced labor conditions in the state of Mato Grosso will be referred by the project to available programs of social protection, being therefore the project's indirect beneficiaries. Data compiled by the ILO in Brazil, nevertheless, suggests that only 1.7% of workers rescued from FL in the country are children.[2]

The overall project will be implemented over a 48-month period beginning in December 2012 and ending in December 2016. The implementation period for Peru is 24 months beginning in November 2013 and ending in November 2015. The key project milestones and related dates are summarized in the following table.

Table 1: Key Milestones in the Life of the Project[3]

Milestone	*Date*
Completion of project document	May 2014
Completion of CMEP document	January 2015
Completion of baseline survey	May 2015
Implementation of the mid-term evaluation	March 2015
Completion of the endline survey	July 2016
Implementation of the final evaluation	December 2016

B. Purpose and Components of the CMEP

The purpose of this Comprehensive Monitoring and Evaluation Plan (CMEP) is to describe the Project's Theory of Change (ToC) and its monitoring and evaluation (M&E) procedures. It also provides a set of indicators that will be used to guide data collection, manage project implementation and obtain empirical evidence on whether the project is achieving its intended

[2] Data compiled by ILO for the study "*Perfil dos Atores Envolvidos no Trabalho Escravo Rural no Brasil*" de 2011. According to USDOL's livelihood definitions available in the "*Management Procedures & Guidelines*" every individual with less than 18 years is considered a child. Referring children found under forced labor conditions to social protection programs in Mato Grosso state is a strategic action for the project because this would reduce these children's vulnerability to future recruitment into forced labor, thus being a preventive measure.

[3] Given the actual implementation context the project is planning to request an extension.

results. The CMEP not only allows the project to monitor results (e.g. "what happened?") but also to address the issues of "how" and "why" change occurred.

The CMEP is divided into the following components:

Problem analysis depicts the primary causes and consequences of forced labor in Brazil and Peru that the project intends to address. The problem analysis is based on primary and secondary data. The primary data stem from discussions with key stakeholders while secondary data emanated from government statistics and other key reports on forced labor.

Theory of change builds from the problem analysis and presents the project hypothesis and strategies to promote developmental changes related to the combat of forced labor in Brazil and Peru. The theory of change includes a narrative, the project's results framework diagram, and a description of key project activities by project output. The results framework shows the causal links between outputs, supporting objectives, intermediate objectives, and the project objective. It also incorporates the indicators and key assumptions, which provide the framework for the project's monitoring and evaluation (M&E) system.

Performance monitoring establishes a roadmap for M&E including reporting on performance data. It provides the conceptual framework to monitor project implementation and assigns accountability for results. This section includes the definitions of project indicators and the United States Department of Labor (USDOL) Office of Child Labor, Forced Labor, and Human Trafficking (OCFT) common performance indicators, data sources, responsibilities, and how the data will be used and analyzed. It also lists and describes the data collection instruments.

Baseline study plan (for Mato Grosso) outlines the purpose and use of the baseline situational analysis to be implemented in the state of Mato Grosso. In addition, it describes the data collection procedures, responsibilities, and timeline for the baseline study.

Evaluation plan describes the purpose, requirements, and timing of the mid-term and final evaluations. It also defines the relationship between the project's M&E systems and the evaluations. In addition, this section contains a description of the project's special study,[4] which consists of a forced labor estimate survey.

Implementation and management of the CMEP defines the roles and responsibilities for data collection, validation, analysis, and reporting as well as the management information system (MIS), which includes the direct beneficiary monitoring system (DBMS). This section also describes the coordination mechanisms among implementing partners, data quality assurance procedures, and reporting requirements. It includes a budget for M&E and research activities[5] along with the timetable for implementation of the CMEP. This section ends with a description of the strategy to communicate results and a plan for annual reviews and revisions to the CMEP.

[4] While not methodologically part of the CMEP, special studies are included since they serve as input for the evaluation component of the project.

[5] While not methodologically part of the CMEP, the budget for research activities is included because it can serve as input for the evaluation component of the project.

SECTION I: PROBLEM ANALYSIS

Latin American countries are increasingly aware of the risk of forced labor practices. Within the region, Brazil has been at the forefront of combating forced labor by building institutional capacity to prevent forced labor and provide adequate services for its victims. Peru has more recently developed policies aimed at building its capacity to consistently address forced labor. Despite these efforts, forced labor is a developmental problem that still persists in Brazil and Peru, therefore these countries need to continue to strengthen and consolidate policies aimed to eradicate forced labor practices.

A thorough problem analysis of the forced labor situation was conducted during a workshop with key stakeholders from Brazil and Peru in July 2013. To solicit additional input, meetings were held with key stakeholders in Mato Grosso, Brazil and with the members of the National Commission for the Fight Against Forced Labor in Peru in September 2013. The main results of this participatory and consultative process are presented below, and in more detail in Annex 1.

A. Main Factors Contributing to Forced Labor in Brazil and Peru

The main factors that contribute to the persistence of forced labor in Brazil and Peru were identified during the previously cited workshop and are highlighted and discussed below.

1. Low visibility of forced labor issues and of the results achieved in Brazil.
Low visibility of forced labor issues and results is a main factor related to the prevalence of forced labor in Brazil simply because it precludes the inclusion of combating forced labor comprehensive policies in the civil society and government's policy agenda. This invisibility of forced labor issues and results is explained by three major concurrent factors:

- First, **Brazil lacks consistent data and studies on the different aspects of forced labor**. Improved data and studies on forced labor would allow Brazil to better understand its true dimensions and therefore would better inform the policymaking process.
- The second factor is the **lack of awareness of key stakeholders and the public in general on forced labor issues with an age, gender and race perspective**. This lack of awareness about the intersectional character of forced labor in Brazil hinders the design of specific interventions aimed to prevent FL and address its negative consequences. It also has the side effect of eroding political support to combat forced labor policies.
- The third factor identified by key stakeholders is the **limited knowledge of good practices** already implemented in Brazil. Once improved, this kind of knowledge can potentially leverage the effectiveness of combating forced labor initiatives through the transference of tested and approved good practices to other settings.

2. Uneven institutional capacity to combat forced labor in Brazil.
Despite the fact that Brazil has created institutional capacity to combat forced labor, loopholes still exist that result in the reduced effectiveness institutions. Institutional loopholes put at risk the Brazilian policy to combat forced labor in regard to the role of three relevant institutional actors.

- First, the National Commission has **weak communication channels** in place for the exchange of experiences and information, as well as **weak coordination and monitoring capacity** for the implementation of the National Plan to Eradicate Forced Labor. These

institutional weaknesses' main effect is that they jeopardize the effective implementation of the National Plan to Combat Forced Labor, therefore contributing to the persistence of forced labor in Brazil.

- State Commissions also have difficulties in implementing the state-level plans to eradicate forced labor. The **exchange of experiences and information, as well as coordination and monitoring mechanisms are weak or non-existent**. Likewise, even in those states that have both a State Commission on FL (i.e. 13 out of 27 states) and a Decent Work Agenda prioritizing the eradication of forced labor (i.e. 9 states[6]), the **link between these two participatory and coordination fora are weak**. The combination of insufficient operational capacities and the lack of links between State Commissions and Decent Work Agendas generates duplication of activities and efforts, as well as the mismanagement of the already limited resources available. This hinders the effectiveness of the combat against forced labor at the state level and thus contributes to the persistence of forced labor in Brazil.
- Finally, **low levels of participation of workers' organizations in the National and the State Commissions** also contribute to the reduced institutional capacity to combat forced labor in the country. On one hand, there is a lack of commitment from these organizations; on the other, the necessary coordination mechanisms between workers' organizations and the National and State Commissions are not in place. The combination of these factors reduces the legitimacy and effectiveness of the work performed by the National and State Commissions, therefore imposing a set of organizational restrictions to these institutions, which in turn jeopardize the effective implementation of national and local policies designed to combat forced labor in Brazil.

3. Low engagement of the private sector and employers' organizations in Brazil in combating forced labor.

The engagement of the private sector and of employers' organizations in combating forced labor through corporate social responsibility practices has been reduced throughout the years. This is due to three factors.

- Even though there is consensus among companies that forced labor is unacceptable, some disagree with the **definition of forced labor under article 149 of the Penal Code**.[7]
- Another cause for the private sector's low level of engagement is the **lack of awareness of employers' organizations and companies regarding the advantages of sustainable enterprises and supply chains**. This is mainly due to a lack of policies to promote sustainable supply chains. It is also worth noticing that few partnerships are implemented among government agencies, employers' organizations, companies and social stakeholders to stimulate the productive inclusion of rescued workers; the latter could be understood as a good managerial practice with clear productive effects.
- The main platform for participation of the private sector in promoting sustainable supply chains and sustainable enterprises has been the National Pact to Combat Forced Labor that was launched in 2005. By signing the National Pact, a company publicly commits to combat forced labor by refraining from buying directly or indirectly from suppliers on the

[6] The states of Bahia and Mato Grosso have consolidated decent work agendas. In addition, in the states of Tocantins, Minas Gerais, Paraná, Pernambuco, Piauí, Alagoas and São Paulo, agendas are being developed.

[7] According to some business representatives the Article 149 does not establish a clear and objective definition of forced labor in Brazil, therefore they argue that criminal penalties based on this article are unjust. In fact this is a political issue and questioning the Article 149 is a deliberate strategy to jeopardize the Ministry of Labor and Employment's mobile inspection unit work.

Dirty List.[8] By the end of 2012, more than 400 companies and institutions were signatories of the National Pact, accounting for 30% of Brazilian Gross Domestic Product. However, despite its achievements the **National Pact has a weak governance structure and is not sustainable** due to its current business model that lacks financial autonomy.

4. Socio-economic vulnerability of social groups in Brazil that lead to forced labor.
In regard to the work performed with the population directly affected by FL, the persistence of this problem in Brazil has two main, intertwined causes:

- **Extreme poverty** is a major factor behind forced labor prevalence. Extreme poverty affects a significant portion of the population that is especially vulnerable to this problem because it lacks alternative livelihood skills and opportunities to avoid forced labor.[9] The factors behind the lack of alternative livelihood opportunities include deficient education, inadequate vocational training and insufficient opportunities for economic inclusion.
- At the policy level, there is a **limited number of interventions to prevent forced labor and reintegrate workers rescued from forced labor conditions**. When rescued, the worker has the right to receive unemployment benefits for three months. However, there are still significant gaps in terms of reaching out to these workers with effective strategies. For example, government sponsored interventions are not sensitive to gender, race and age, and tend not to place victims of forced labor in the appropriate social programs. In addition, there is currently no national program to reintegrate victims of forced labor in Brazil.

5. Low capacity to combat forced labor in Peru.
In 2007, Peru established the National Commission for the Fight against Forced Labor, which launched the National Plan for the Fight against Forced Labor and a Second National Plan in 2013. The National Commission acts as the permanent coordination body for policies and actions against forced labor in various sectors, at both national and regional levels. A special labor inspection unit to combat forced labor was created in August 2008. Although Peru has made progress in addressing forced labor issues, this problem persists and is directly related to pervasive instances of discrimination, in particular against indigenous peoples, as well as to the lack of economic opportunities and widespread poverty that increase vulnerability to forced labor.

Low capacity to combat forced labor in Peru is mainly due to the following three factors:

- First, there is a **lack of knowledge on the extent and characteristics of forced labor in the country**. There is a shortage of data on forced labor as well as inadequate mapping of the regions and supply chains that that have been identified as the most problematic.
- The second factor is the **lack of information among key stakeholders on the causes and consequences of forced labor.** This is accompanied by a lack of training among tripartite stakeholders to generate initiatives to address forced labor. Peru also lacks tripartite regional commissions to assist in the implementation of the National Plan.
- Finally, the **country lacks the institutional capacity to implement its national policies against forced labor.** Peruvian penal legislation does not identify forced labor as a specific

[8]The MTE database includes a data section called the "Dirty List" that contains the name of employers and companies that have been administratively convicted of having workers found under forced labor conditions.
http://portal.mte.gov.br/data/files/8A7C812D3D63BE8D013D6F82F7995BAC/CADASTRO%20DE%20EMPREGADORES%20ATUALIZA%C3%87%C3%83O%20Extraordin%C3%A1ria%2015.03.2013.pdf

[9] Data shows that male rural workers aged 18 to 34 are particularly vulnerable to forced labor. Recently however, it was noticed that an increasing number of workers rescued from forced labor in Brazil were found in urban settings.

criminal offense. This has serious implications in terms of impunity of perpetrators. Furthermore, there are no mechanisms to report forced labor and provide responses to victims. The labor inspection structure lacks the capacity to fully address the complaints received concerning forced labor cases and has limited outreach due to its organizational structure.

SECTION II. THEORY OF CHANGE

This section of the CMEP describes the project's Theory of Change (ToC), which explains the underlying logic of the same and the way in which the different activities developed by the project will help attain specific outputs which in turn are deemed to contribute to the generation of overall outcomes that would lead to positive social change on the issue of forced labor in both countries.

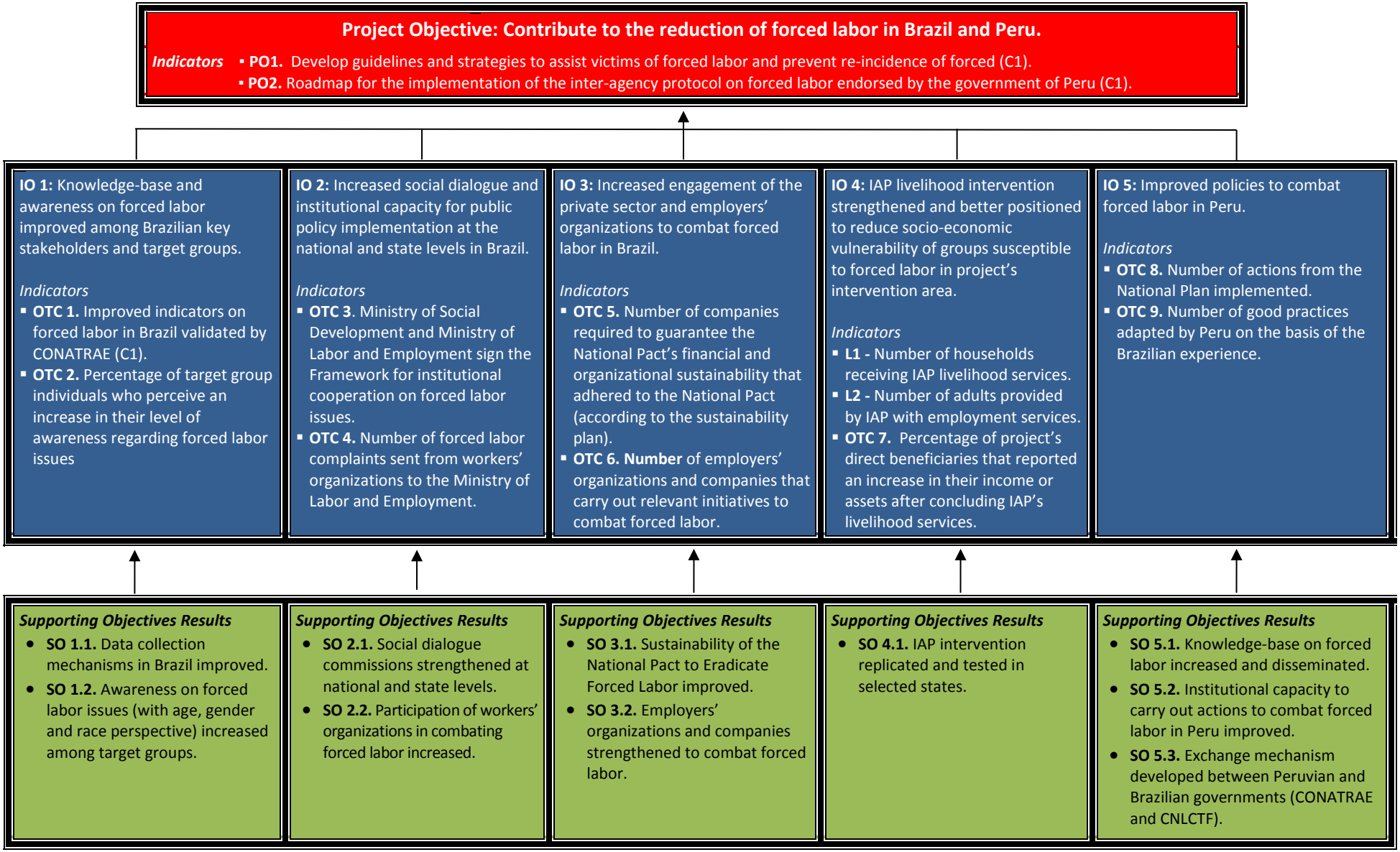
A. Results Framework

Below, in Figure 1, is presented the project's Results Framework (RF) which depicts the project's main objective, its five intermediate outcomes, related indicators and supporting results. Figure 1 also shows information about the project main critical assumptions, as the conditions that have to be met to guarantee the project's proper implementation, and therefore effectiveness. The Results Framework representing the main project outcomes and their contributing outputs is found in Annex 2.

Figure 1. Project Results Framework

Critical Assumptions

A) Stakeholders in general are willing to promote social dialogue. B) Private sector and employers' organizations are willing to combat forced labor. C) Brazilian and Peruvian governments are willing to promote South-South Cooperation activities. D) Economic environment remains sufficiently stable. E) Changes in the political landscape have limited effects on institutional relations. F) Legal and normative aspects of forced labor issues remain supportive of project's activities.



B. Narrative of Project's Theory of Change

The project's ToC, presented in Figure 1, on the previous page, proposes that *contributing to the reduction of forced labor in Brazil and Peru* is possible when most of the main issues that contribute to the persistence of forced labor in these countries, identified in Section I, are comprehensively and adequately addressed.

To cope with the complex environment in which activities are carried out, and reduce risks related to project implementation, three broad strategies are in place to support the achievement of the overall developmental objective and promote the interaction of intermediate and supporting objectives.

- **Institutional Strengthening Strategy**: An important part of the proposed strategy is to generate institutional strengthening through awareness, capacity development, social dialogue and knowledge generation and dissemination. This part of the strategy is built upon the idea that strengthened institutions are better positioned to design and deliver more effective and efficient policies. This strategy is also suitable to the developmental context of Brazil and Peru, that are both middle income countries soared by inequality and institutional gaps. This strategy is operationalized by IOs 1, 2 and 3 and their respective supporting objectives. In this case it is worth mentioning that although challenging and sometimes hard to measure and monitor, institutional changes are likely to leverage national ownership and increase the sustainability of the results to be achieved. The list below shows the intermediate objectives of the project that are related to the institutional strengthening strategy in Brazil and Peru:

  - ✓ IO 1: Knowledge-base and awareness on forced labor improved among Brazilian key stakeholders and target groups, so policies to combat forced labor are better informed.

  - ✓ IO 2: Increased social dialogue and institutional capacity for public policy implementation at the national and state levels in Brazil, leading to the development of multi-stakeholders, integrated, and participative federative policies.

  - ✓ IO 3: Increased engagement of the private sector and employers' organizations to combat forced labor in Brazil, so that the project will be able to work on the demand side of forced labor issues, and therefore reduce the persistence of forced labor in Brazil.

  - ✓ IO 5: Improved policies to combat forced labor in Peru, so that the knowledge and experiences implemented and tested in Brazil are systematized, disseminated, adapted and replicated in Peru, thus consolidating efforts to eradicate forced labor in both countries.

  These intermediate objectives are inter-related and complementary; for example, the increase in knowledge and awareness leverages social dialogue and the engagement of the private sector and employers' organizations. Complementarily, more social dialogue stimulates the production of knowledge and private sector's participation and

awareness. Finally, more engagement from the private sector facilitates social dialogue and knowledge generation, as well as awareness about forced labor issues. Based on this strategic approach the project aims to increase the sustainability of achieved results since activities developed under this strategic approach are basically focusing on institutional strengthening and capacity development.

- **Preventive Approach Strategy**: The project's livelihood intervention is a multi-disciplinary holistic intervention, in the format of a pilot-project that is modular and adaptable, being therefore suitable to be replicated and scaling-up in other settings. By supporting this innovative pilot-intervention, the project is well positioned to advocate for a national comprehensive policy to prevent forced labor and reintegrate workers rescued from forced labor conditions. This approach also has the potential to prevent prevents the re-incidence of forced labor rescued workers that given their social status are currently vulnerable to recruitment into forced labor. This is a specifically interesting feature of the project since in Brazil 59.7% of rescued workers were previously coopted by forced labor informal recruiters.[10]

  In the case of the preventive approach strategy, the project has the specific intermediate objective presented below:

  - ✓ IO 4: IAP livelihood intervention strengthened and better positioned to reduce socio-economic vulnerability of groups susceptible to forced labor in project's intervention area, so that the project will be able to work on the supply side of forced labor issues, and therefore reduce the persistence of forced labor in Brazil.

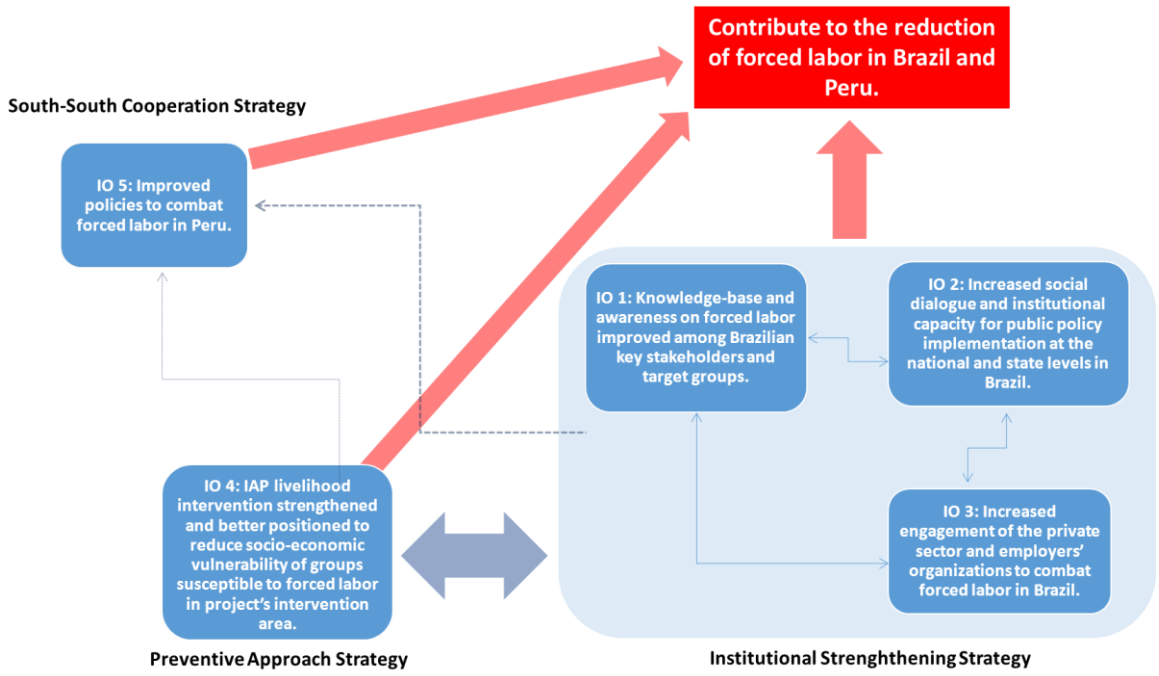
  This strategy is in line with the institutional strengthening strategy since more capable institutions are more likely to support the development and replication of a preventive initiative, and, on the other hand, a strengthened and adaptable preventive initiative is likely to provide evidence to support the development of more effective national and local policies to address forced labor issues;

- **South-South Cooperation Strategy**: This strategy is instrumental to the achievement of outcomes related to intermediate objective number 5, and it is also indirectly influenced by the achievement of outcomes related to intermediate objectives 1 to 3, and even intermediate objective 4, since strengthened institutions and initiatives in Brazil are more likely to result in tested and approved initiatives, characterized as good practices, that could be potentially replicated in Peru. Because the project has a stand-alone South-South cooperation strategy, activities from IO 5 that involve the transference of policy based technologies can be classified as knowledge-based actions with potential to leverage the reach and sustainability of project's activities once this knowledge is transferred to Peru.

Figure 2 below shows how the three strategic approaches proposed by the project are interconnected and reinforce each other, leveraging overall development results in terms of promoting the reduction of forced labor prevalence in Brazil and Peru. The institutional strengthening strategy and the preventive approach strategy, in conjunction, indirectly support the development of intermediate objective 5, presented below, that aims to strengthen the fight against forced labor in Peru and provides the framework for a constant exchange of knowledge and experiences on forced labor issues with Brazil.

[10] Data compiled by ILO for the study "*Perfil dos Atores Envolvidos no Trabalho Escravo Rural no Brasil*" 2011.

Figure 2. Project Strategic Approach



Gender, Racial-Ethnic and Age Mainstreaming

The project does not directly intend to promote gender, age, or ethnic-racial mainstreaming in the national plans or policies for the eradication of forced labor in Brazil or Peru, simply because that would demand a completely different set of abilities from stakeholders and implementing partners, plus the design of tailored activities precisely focusing the promotion of gender, ethnic-racial and age equality within forced labor policies in these two countries.

Nevertheless, the project recognizes the importance of combating identity based inequalities in Brazil and Peru, and the link that these inequalities have with forced labor issues, especially in terms of the increased social vulnerability that women, Afro-Brazilians, indigenous people and young people experience throughout their lives, highlighting the need to promote analysis and design interventions minimally based on an intersectional perspective. Identity-based inequalities are also indirectly linked with the project because there is a strong correlation between human trafficking and forced labor. Currently, more than half of the victims of forced labor are girls and women, mostly involved in cases of sex exploitation and domestic servitude, the majority of these women are also victims of human trafficking.[11]

To a certain degree, interesting links towards the promotion of gender, race, ethnicity and age equality are identified in the project's ToC. First, the project stimulates the production of sex, age, and ethnic-racial disaggregated data shedding some light on the intersectional prevalence of specific demographic cohorts, as forced labor rescued workers and forced labor vulnerable

[11] ILO Report "Profits and Poverty: The Economics of Forced Labour" 2014.

populations are generally invisible to policymakers and forced labor stakeholders. Second, in the case of Peru, the project will support the development of a study to characterize the victims, vulnerabilities, and supply chains related to domestic servitude that will certainly incorporate a gender, age and race perspective given the fact that most of the victims are expected to be indigenous, young women. Third, the awareness campaign to be developed in Brazil will be gender, age and ethnic-racial sensitive because these population cohorts are comparatively more vulnerable than adult Caucasian men, and therefore more prone to be coopted by forced labor. Fourth, the project's livelihood intervention also provides multidisciplinary services that are gender, age and ethnic-racial sensitive. For example, among gender-oriented activities implemented by project's livelihood component is reducing the prevalence of domestic violence. Finally, the project incorporates gender-sensitive activities in its livelihood component simply because most than 95% of forced labor rescued workers are men.

C. Description of Project's Key Activities by Project Outcomes

The following section describes the key activities that will be undertaken in order to develop the proposed project outputs. The achievement of these outputs will contribute to the attainment of the project's supporting objectives. The attainment of supporting objectives will collectively contribute to the achievement of the projects' five intermediate objectives, and thus lead to the ultimate project objective of consolidating efforts to eradicate forced labor in Brazil and Peru. The Activity Mapping Table in Annex 3 contains a detailed inventory of the activities related to each project output. For comprehensive information on key activities and strategies, please see the project document.

IO 1. Knowledge-base and awareness on forced labor improved among Brazilian key stakeholders and target groups.

SO 1.1. Data collection mechanisms in Brazil improved

To improve knowledge-base and awareness on forced labor the project will carry out a set of activities to achieve the supporting objective of improving data collection mechanisms and therefore stimulating the production of knowledge and leveraging awareness.

The project plans to co-finance and conduct a survey, pending on governmental approval, on forced labor estimates based on the adaptation in Brazil of the ILO's methodology "Hard to See, Harder to Count". In preparation for the survey, the project will organize a workshop to adapt indicators on forced labor[12] and establish the survey's scope of work, work plan and budget. The project, in partnership with the government, will support the survey design, conduct a pilot test and undertake survey implementation and analysis activities. Once the survey is completed, the project will conduct a second workshop to present and validate the results of the survey to the National Commission for the Eradication of Forced Labor (CONATRAE) and other key governmental stakeholders.

In addition to the national indicators on forced labor, the project intends to improve the mechanisms used to collect data on forced labor. The project will map and analyze current data collection mechanisms, present findings and propose recommendations to improve them. The national indicators will help improve data collection mechanisms by focusing the process on a clear set of well-defined forced labor indicators. The project intends to discuss with the Brazilian Institute of Geography and Statistics (IBGE) the possibility of incorporating specific forced labor-related indicators within national surveys, such as the National Household Survey (PNAD) and/or the National Census.

Finally, the project intends to identify and map Brazilian good practices regarding the fight against forced labor by type of intervention (i.e. prevention, assistance to victims). The project will conduct a workshop for key stakeholders to discuss and agree on a selection of good practices. The good practices will be identified, analyzed from an organizational perspective, systematized as case studies, and translated to English and Spanish. The good practice publications will be incorporated into IOs 2 to 4 to raise awareness, promote discussions about different models of cooperation and instruct stakeholders in Brazil. The good practice publications will also be incorporated into IO 5 as a key tool to disseminate the Brazilian experience and promote the adaptation of Brazilian practices in Peru through horizontal and South-South cooperation mechanisms, and will be used in future cooperation initiatives with other countries.

[12] These indicators refer to indicators that are specifically for implementing the survey and may differ from the national indicators linked to the CONATRAE monitoring and evaluation system.

SO 1.2. Awareness on forced labor issues (with age, gender and race perspective) increased among target groups

The project will develop a communication strategy and implement an awareness raising campaign aimed at mobilizing key stakeholders and beneficiaries against forced labor. The communication strategy and campaign materials will be gender, race, and age-sensitive to reach a significant number of people and communicate messages appropriately to the target groups.

The project intends to conduct assessments before and after the communication strategy is implemented to determine change in the levels of knowledge on forced labor among specific target groups' stakeholders.

The project plans to support the improvement and implementation of Escravo, Nem Pensar (Slavery, No Way) prevention program as a communication tool in communities that have a high incidence of rescued workers and at-risk populations. The Escravo, Nem Pensar prevention program also focuses on initiatives addressed at workers' self-sufficiency through the promotion of social programs such as "Economia Solidária" (Solidarity Economy).

IO 2. Increased social dialogue and institutional capacity for public policy implementation to eradicate forced labor at the national and state levels in Brazil

SO 2.1. Social dialogue commissions strengthened at national and state levels.

The project will help strengthen CONATRAE so it can more effectively implement Brazilian policies related to forced labor. One area of focus will be supporting CONATRAE to improve the monitoring mechanism of the Second National Plan. The project will support this process by organizing an international seminar to increase understanding of and identify positions for the 2014 ILC. Within the framework of CONATRAE, the project will engage different ministries, such as the Ministry of Social Development and the MTE, to improve collaboration between social programs that benefit rescued workers and at-risk population.

The project will also provide technical assistance to strengthen selected State Commissions for the Eradication of Forced Labor (COETRAEs) so they are able to effectively implement their plans to eradicate forced labor. Where relevant, the project will coordinate with the state-level Decent Work Agendas. In addition to the technical assistance to COETRAE, the project intends to promote the replication of the monitoring system of the National Plan at states level. The project will also play an important role in facilitating the exchange of good practices and information among COETRAEs, which they may use to implement more effectively state-level plans.

SO 2.2. Participation of workers' organizations in combating forced labor increased

The project plans to strengthen the participation of workers' organization in CONATRAE and, at the same time, work within CONATRAE to increase the representation of workers.

To help enhance workers' organizations capacity, the project will support the organization and implementation of a training of trainers seminar for workers on forced labor issues (by translating, adapting and using the International Trade Union Confederation manual on forced labor). In addition, it will support the dissemination of awareness raising materials in rural areas where the incidence of forced labor is high. These capacity building activities should help workers' organizations to more effectively assist victims, process and submit their complaints to authorities, and, in some cases, provide legal assistance to victims of forced labor in Court. The project intends

to support the development and test of an online complaint system by CONTAG to inform the Ministry of Labor and Employment inspection unit.

IO 3. Increased engagement of the private sector and employers' organizations to combat forced labor in Brazil

SO 3.1. Sustainability of the National Pact to Eradicate Forced Labor Improved

One of the strategies to help sustain the National Pact is to establish it as a legal independent entity. During this restructuring period, the project will assist the National Pact develop a financial sustainability plan aimed at ensuring that it is able to financially support its structure and activities.

SO 3.2. Employers' organizations and companies strengthened to combat forced labor

The project plans to conduct and present good practice studies on how companies are addressing forced labor in their supply chains. In addition, the project will undertake sector-specific supply chain studies.

The project will also help raise the awareness of employers' organizations on forced labor issues through a seminar with the "S"[13] system to discuss their respective roles and responsibilities in combating forced labor. This initiative will be linked to the replication of the Integrated Action Plan (IAP) given the "S" system's role in providing technical and vocational training to beneficiaries. The project will promote the development of tools that employers' organizations might use to replicate the seminar.

IO 4. IAP livelihood intervention strengthened and better positioned to reduce socio-economic vulnerability of groups susceptible to forced labor in project's intervention area

SO 4.1. IAP intervention replicated and tested in selected states.

The project will strengthen the IAP in Mato Grosso by improving pedagogical tools, developing a communications strategy and supporting its implementation, and develop a monitoring system able to identify possible changes on the beneficiary population socio-economic status that can be potentially attributed to the IAP. The first activity will be to undertake a baseline study. Information from the project's baseline study will be used to: (a) develop reliable project targets and identify direct beneficiaries, (b) select specific target communities within the state to support household and workers through social assistance mechanisms (CRAS and CREAS) and (c) inform project design and activities, including the identification and development of relevant services to direct beneficiaries.

The project will also conduct an endline study that will measure the outcomes of the project interventions, including the working and education status of direct beneficiaries and changes in the socio-economic status of households.

The project will analyze the tools utilized by the IAP and propose improvements, especially regarding the effectiveness of targeting strategies and monitoring tools. Once the analysis is concluded, the project will strengthen the tools and mechanisms to identify and locate potential beneficiaries, as well as establish a beneficiary monitoring system that may be sustainable and replicable in other states.

[13] The "S" system is a vocational training structure structured and maintained by the Employer's Confederations in different sectors such as Industry, Commerce, Transportation, Agriculture, among others.

The project will provide assistance to the IAP in preparing and implementing a pedagogical methodology designed for rescued and vulnerable workers and in strengthening economic inclusion projects and initiatives for beneficiaries. The pedagogical methodology will aim to integrate vocational training and educational leveling as well as the development of a communication strategy to raise awareness and train key actors. This tool is important to guarantee the consolidation and expansion of the program in the state of Mato Grosso.

The project will provide support to selected state-level governments to replicate the IAP through a pilot experience. The project will conduct an assessment at the beginning of each pilot experience to map key actors and their potential role and identify target regions and sectors. Towards the end of the project, the pilot experiences will be analyzed through a study to assess the replicability and scalability of the intervention model.

IO 5. Improved policies to combat forced labor in Peru

SO 5.1. Knowledge-base on forced labor increased and disseminated

The project aims to increase the knowledge base on forced labor available in Peru by developing sector-specific study (or studies) that characterize victims, vulnerability-related factors and supply chains. The priority sectors include timber logging, informal mining and domestic work, which are sectors highlighted in the National Plan. The project plans to assess national data collection mechanisms and suggest improvements to the same and to the systems for registering information in databases (including the system for reporting cases of trafficking and victims of forced labor). The project will also support the expansion of the RETA system (a database managed by the Ministry of Interior of Peru).

The project intends to develop a communication strategy on FL and improve the capacity of government and employers' and workers' organizations in Peru to participate in and raise awareness on the fight against forced labor. The communication strategy, based on print materials and radio spots, will be tailored to specific audiences accordingly to the profile of the target population and it will focus on the dissemination of existing information on forced labor in Peru, as well as of knowledge generated by the project. This strategy will complement the other strategies by increasing the level of understanding among stakeholders about the causes and consequences of forced labor.

SO 5.2. Institutional capacity to carry out actions to combat forced labor in Peru improved

The project will promote the participation of employers' and workers' organizations in the prevention and fight against forced labor. In addition, the project will promote the creation of at least one new regional tripartite commission for the fight against forced labor in vulnerable areas, and strengthen an existing one, so that they serve as platforms to implement the National Plan. The project will increase the capacity of the CNLCTF by providing technical assistance to effectively implement the National Plan.

The project will strengthen compliance, assistance to victims and prevention mechanisms in Peru through the promotion of legislative changes that include a definition of forced labor, especially within the penal code. Moreover, the project will train justice system actors (i.e. judges, prosecutors, lawyers and national police) and labor inspectors, including SUNAFIL members, to raise their awareness on forced labor issues and strengthen their role in combating it.

SO 5.3. Exchange mechanism developed between Peruvian and Brazilian governments (CONATRAE and CNLCTF)

The project intends to help establish a cooperation agenda between Brazil and Peru on forced labor issues. The cooperation agenda will help determine the main elements of an exchange program. To develop the cooperation agenda, the project plans to organize and fund a mission of Brazilian stakeholders to Peru, coordinated by the Brazilian Cooperation Agency (ABC), which will identify the elements of the agenda. Based on the outcomes of this mission, a cooperation agenda and an action plan will be developed. To facilitate the mission, the project will provide forced labor information on both countries to participants. The cooperation agenda and its action plan will specify the areas within IOs 5.1 and 5.2 that will be strengthened and expanded by the cooperation between Brazil and Peru. The project will subsequently support the implementation of the cooperation agenda, which will include specific activities, follow-up mechanisms and concrete outcomes. The cooperation experiences developed will be documented by the project.

SECTION III. PERFORMANCE MONITORING

A. Purpose and Use of the Performance Monitoring Plan

The Performance Monitoring Plan (PMP) is a key document in the form of a matrix that identifies "what" will be monitored and evaluated during the life of the project and how this will be done. The PMP serves to identify and organize appropriate qualitative and quantitative indicators to monitor and evaluate a project in a hierarchical way, through a multilevel structure (e.g. main objective, intermediate and supporting objectives, and outputs).

The purpose of the PMP is to state and define these indicators and to describe the processes by which data will be collected (e.g. data source, reporting frequency, responsible person, data analysis and use). The project will use the PMP as a management tool, ensuring that project staff collects data that meet all data quality requirements: Validity, reliability, timeliness, precision, and integrity.

The capacity to communicate the achievement of project results and to share good practices and lessons learned is dependent on the ability to collect useful performance information. Within a results-based management structure, the Performance Monitoring Plan (PMP) is a management tool that allows the project to assess and report progress towards a project's objectives on a regular basis. The PMP helps establish a roadmap to monitor and report performance data. It also provides the conceptual framework to carry out project implementation and assigns accountability for results.[14] In summary, the PMP allows the project to:

- Specify performance indicators;
- Provide the indicator's definition and unit of measurement;
- Determine the source from which data will be collected;
- Establish the frequency in which the data will be reported;
- Assign responsibilities for data collection; and
- Determine how the data will be used.

Indicators are at the core of performance monitoring. They must be direct, measurable, time-bound, objective, practical and adequate. Performance indicators are used to observe progress and measure actual results compared to expected results. They help answer "how" and "if" the project objectives are on track to be achieved.

Indicator definitions and units of measure: The PMP in Annex 5 provides detailed definitions for the indicators and sets the units of measure to obtain the desired information. The definitions on forced labor in the PMP stem from the forced labor definitions provided in Annex 4, which are consistent with labor legislation in both Brazil and Peru.

[14] The Performance Management Toolkit: A Guide to Developing and Implementing Performance Management Plans; Policy and Program Coordination Bureau, USAID 2003.

Data sources: Government databases (2010 Census and 2013 Household Survey – PNAD) and other stakeholder record systems will serve as the principal sources for secondary data and include the following:

- Labor ministries databases (Brazil and Peru)
- Ministry of Social Development's Single Registry System (Brazil)
- CONATRAE and COETRAE record systems (Brazil)
- CNLCTF record systems (Peru)
- National Pact's monitoring system (Brazil)
- IAP including data extracted from the DBMS (Brazil)

The project will also collect, when necessary, primary data during the baseline and endline assessment,[15] knowledge assessments and special studies. Data sources for these data collection activities will largely consist of the project's beneficiaries. Supplemental data sources will include meeting notes, participant lists and mailing lists.

Data collection frequency: The frequency with which data will be collected and reported varies among the objectives and outputs. For example, the project objective indicators will be measured at the beginning and end of the project. Indicators for IOs 1, 2 and 5 will also be measured at the beginning and end of the project while indicators for IOs 3 and 4 will be measured annually. The supporting objective indicators will also be measured annually while output indicators will be measured every six months.

Staff responsible: The project's Monitoring and Evaluation Officer and M&E Assistant will be primarily responsible for data collection. Other key project actors will be involved depending on the indicator and data source. For example, the project director will be involved when political actions or decisions are required and the field officer will be involved for indicators related to the IAP in Brazil. In Peru, the national officer will be involved. The PMP also identifies external partners that will be responsible for providing information. These include CONATRAE, COETRAEs, CNLCTF, focal points for labor ministries, IAP, National Pact, civil society organizations, workers' and employers' organizations. In addition, external consultants contracted by the project will be responsible for providing information on certain indicators.

Data analysis and use: Data will be analyzed and used by project management to make decisions related to project execution including tracking progress and adjusting strategies when necessary. Output level data collected every six months will be used to determine whether any modifications in the strategy need to be made in the following semester. Data collected on an annual basis will serve to adjust the work plan for the following year. This information will be key to ensure that data on indicators collected at the beginning and at the end of the project shows if project objectives are being achieved.

B. Project Results and Indicators Table

The project's results and indicators table summarizes the indicators that the project will be tracking and appears below as Table 2. The project will track thirteen indicators at the outcome

[15] For more in this subject please see section about the Baseline study.

level (supporting objectives´ indicators that collectively inform the attainment of intermediate objectives), twenty indicators at the output level. Among the outcome level indicators there are two common USDOL livelihood indicators (L1 and L2) to inform achievements regarding the project preventive livelihood strategy in Brazil, plus two common USDOL C1 country capacity indicators (PO1 and PO2, one for each country) aiming at measuring overall changes related to the project objective. The project objective, intermediate objectives, supporting objectives, and outputs, along with their indicators are presented in the Table 2, below.

The full version of the PMP, including definition of indicators, may be found in Annex 5 to this document.

Table 2: Project Results and Indicators Table

Project Objective: Contribute to the reduction of forced labor in Brazil and Peru.	
PO1. Develop guidelines and strategies to assist victims of forced labor and prevent re-incidence of forced labor (C1). PO2. Roadmap for the implementation of the inter-agency protocol on forced labor endorsed by the government of Peru (C1).	
Intermediate/Supporting Objectives	**Indicators**
IO 1: Knowledge-base and awareness on forced labor improved among Brazilian key stakeholders and target groups.	
Situational Analysis: Key information gaps on forced labor-related issues; current forced labor-related indicators available in country; stakeholders' knowledge and awareness about forced labor issues by beginning of project.	
SO 1.1. Data collection mechanisms in Brazil improved.	OTC 1. Improved indicators on forced labor in Brazil validated by CONATRAE.
Output 1.1.1. Pilot-Survey on forced labor available for selected state(s).	OTP 1. Report of Pilot-Survey available.
Output 1.1.2. Mapping of information gaps among national databases addressing forced labor-related issues available.	OTP 2. Recommendations formulated in response to findings from mapping exercise are disseminated to CONATRAE.
Output 1.1.3. Brazilian good practices on combating forced labor are identified, systematized and disseminated.	OTP 3. Report on good practices to combat forced labor available and disseminated to key stakeholders.
SO 1.2. Awareness on forced labor issues (with age, gender and race perspective) increased among target groups.	OTC 2. Percentage of target group individuals who perceive an increase in their level of awareness regarding forced labor issues.
Output 1.2.1. Communication strategy implemented.	OTP 4. Number of key opinion leaders, media professionals, and stakeholders trained on communication as a tool to combat forced labor with a gender, race and age perspective.
IO 2: Increased social dialogue and institutional capacity for public policy implementation at the national and state levels in Brazil.	
Situational Analysis: Current situation of the National Plan; List of institutions conforming CONATRAE and main COETRAEs; general programs and activities implemented by government agencies in key states; workers organizations' position, involvement and activities regarding forced labor	

as beginning of project	
SO 2.1. Social dialogue commissions strengthened at national and state levels.	OTC 3. Ministry of Social Development and Ministry of Labor and Employment sign the Framework for institutional cooperation on forced labor issues.
Output 2.1.1. CONATRAE's technical capacity to combat forced labor strengthened.	OTP 5. Monitoring and evaluation system of the National Plan on FL designed and implemented.
Output 2.1.2. Framework (protocol) for inter-institutional coordination with relevant ministries and national commission developed.	OTP 6. Recommendations produced for framework of institutional coordination on forced labor issues about the exchange of data and information between the Ministry of Social Development and Ministry of Labor and Employment.
Output 2.1.3. Network to exchange information on forced labor issues established among relevant states (COETRAEs).	OTP 7. Joint activities developed among COETRAEs network members.
SO 2.2. Participation of workers' organizations in combating forced labor increased.	OTC 4. Number of forced labor complaints sent from workers' organizations to the Ministry of Labor and Employment.
Output 2.2.1. Complaint system on forced labor managed by CONTAG available.	OTP 8. Number of forced labor complaints issued by workers' organizations in the CONTAG complaint system per six months period.
Output 2.2.2. Trade union individual members' capacity to combat forced labor increased.	OTP 9. Number of trade union members trained in forced labor issues using material produced by the project.[16]
Output 2.2.3. Information material on forced labor for rural workers disseminated.	OTP 10. Number of rural workers organizations that use dissemination materials on forced labor produced by the project.
IO 3: Increased engagement of the private sector and employers' organizations to combat forced labor in Brazil.	
Situational Analysis: List of Current National Pact members; Corporate responsibility-related activities on FL carried out by Pact	
SO 3.1. Sustainability of the National Pact to Eradicate Forced Labor improved.	OTC 5. Number of companies required to guarantee the National Pact's financial and organizational sustainability that adhered to the National Pact (according to the sustainability plan).
Output 3.1.1. National Pact Institute developed, registered, and operating.	OTP 11. Number of deliberative council meetings undertaken according to the Pact's social statute.
SO 3.2. Employers' organizations and companies strengthened to combat forced labor.	OTC 6. Number of employers' organizations and companies that carry out relevant initiatives to combat forced labor.
Output 3.2.1. Information on how companies are addressing forced labor in their supply chains available.	OTP 12. Number of sector-oriented workshops supported by the project to disseminate supply-chain studies about the eradication of forced labor.
Output 3.2.2. Employers' organizations knowledge on forced labor improved.	OTP 13. Number of representatives that participate in the national employers' seminar on forced labor.

[16] OTP 9 will be refined once the curriculum of the training proposed by the project is defined.

IO 4: IAP livelihood intervention strengthened and better positioned to reduce socio-economic vulnerability of groups susceptible to forced labor in project's intervention area.	
Situational Analysis: Adults employment trends among target population; FL victims' HH involvement in subsistence agriculture, ownership of livestock, etc.; FL victims' source of HH income, assets and living conditions; FL victims' skills training needs, etc.; Skills training education options available at Mato Grosso; FL victims' HH access to credits and savings, social programs, etc.	
SO 4.1 IAP intervention replicated and tested in selected states.	L1 - Number of households receiving IAP livelihood services. L2 - Number of adults provided by IAP with employment services. OTC 7. Percentage of project's direct beneficiaries that reported an increase in their income or assets after concluding IAP's livelihood services.
Output 4.1.1 IAP's communications strategy, monitoring system, and pedagogical plan developed and tested.	OTP 14. Completion rate for job-skills training provided by IAP (disaggregated by direct beneficiaries' sex, age, and level of education).
Output 4.1.2. Integrated Action Movement implemented in selected states.	OTP 15. Number of states enrolled in the Integrated Action Movement.
IO 5: Improved policies to combat forced labor in Peru.	
Situational Analysis: Key information gaps on forced labor-related issues; current forced labor-related indicators available in country; stakeholders' knowledge and awareness about forced labor issues by beginning of project. Current situation of National Policy and Plan; List of institutions conforming CNCLTF, general programs and activities implemented by government agencies.	
SO 5.1. Knowledge-base on forced labor increased and disseminated.	No need for an indicator since OTC 8 and 9 already contemplated knowledge based activities.
Output 5.1.1. Studies produced and database on forced labor available.	OTP 16. Number of studies produced that characterize forced labor in prioritized sectors.
Output 5.1.2. Communication strategy developed and implemented.	OTP 17. Number of relevant stakeholders sensitized on forced labor issues.
SO 5.2. Institutional capacity to carry out actions to combat forced labor in Peru improved.	OTC 8. Number of actions from the National Plan implemented.
Output 5.2.1 National and Regional Commissions for the Fight Against Forced Labor strengthened.	OTP 18. Number of key stakeholders trained to prevent and combat forced labor.
Output 5.2.2 Mechanisms on law enforcement, prevention and victims' assistance improved.	OTP 19. Forced labor inter-agency protocol approved.
SO 5.3. Exchange mechanism developed between Peruvian and Brazilian governments (CONATRAE and CNLCTF).	OTC 9. Number of good practices adapted by Peru on the basis of the Brazilian experience.
Output 5.3.1. Brazilian good practices to combat forced labor adapted by Peru through horizontal cooperation mechanisms.	OTP 20. Number of agenda items or activities developed between Brazil and Peru.

C. Overview of Project Data Collection Instruments

The project developed a Data Collection Table (DCT) that will inform the design of its data collection tools (baseline and endline studies, DBMS, KAS, *Hard to See, Harder to Count* Adaptation, and the Sector-Specific Supply Chain Research). The project intends to use primarily *rapid low-cost data collection methods.* The project will count on secondary sources, partner data and, in some cases, primary sources, such as intake, exit, and monitoring forms, if needed. The use of these instruments will vary according to the issue being monitored and related indicators. The Data Collection Table in Annex 8 shows the proposed method and instrument for each indicator. An overview of these instruments and methods is presented below.

Baseline and endline studies in Mato Grosso: The baseline study in Mato Grosso will consist of four components. The first is an institutional and territorial mapping to consolidate information about the overall employment and social demographic context of municipalities where the project will support the development of its livelihood intervention, including information on decent work indicators and social protection schemes that can contribute to the process of reducing direct beneficiaries' vulnerability. The second component of the baseline study will be an analysis and compilation of the direct beneficiary population's profile and location. The IAP already has a database (information from the 4 years they have been operating) that allows the identification of socio-demographic characteristics and the production of the target population profile. Also, the available information supports the identification of the municipalities (including communities) where rescued and vulnerable workers are more likely to be found since it is possible, after the matching proposed in the fourth study, to identify those locations whose inhabitants have a similar profile to those of forced labor rescued workers. The third component is an institutional and territorial mapping geo-referenced study that will plug the information compiled during the first component development in a Geographic Information System (GIS) to produce a set of maps which will identify municipalities and areas where it is more likely to find rescued and vulnerable workers (target population). Finally, the fourth component is a territorial mapping and vulnerability socio-demographic profile matching. The fourth study will integrate findings and lessons learned from the previous proposed studies. Once the institutional and territorial mapping information is geo-referenced at the municipal level (an analytical exercise that can, if wanted, be reproduced for each one of the 5,570 Brazilian municipalities) it will be possible to cross this data with findings from the direct beneficiary population profile. This will allow the project to identify within the municipalities populations with similar vulnerable profiles, resulting in a set of maps that can precisely inform the places where the IAP team is more likely to find its beneficiary groups. A more detailed view of the baseline study proposed strategy is presented in the next section, that focus exclusively on the same, including its purpose and use, data collection procedures, responsibilities and the timeline of the baseline study development.

The endline study will be composed by a survey (if necessary), complementary to data collected through the project's DBMS, to be applied to treated individuals (direct beneficiaries), that can be contrasted and compared with information for the same individuals previously to their participation in the livelihood intervention activities (baseline data). The endline study aims to collect data about changes experienced by IAP's direct beneficiaries in terms of their self-esteem, educational levels, professional development, employability, economic status (including, but not limited to, individual income and assets), and overall well-being. The analysis of this kind of data

can facilitate the identification of findings and lessons learned that will permit infer to which degree, and how, the project contributed to these observed changes.

Direct Beneficiary Monitoring System (DBMS)

The DBMS includes an online platform that will be used to monitor IAP beneficiaries and assure reliability of the data collected. The DBMS will be used by project management and the implementing agency to assess whether the services provided are producing the desired effects in terms of reintegrating the rescued and vulnerable workers to the job market and productive system, and providing livelihood services that allow the latter to support their households' needs. The DBMS is described in more detail in Section VI B. The IAP DBMS will take advantage of an existing system, which is already in use by the IAP staff, to inform their activities, and partially monitor their direct beneficiary population. The project will support the improvement of the IAP's monitoring forms, support the development of an online system able to produce individual beneficiary information with socio-economic profiles previous to the interventions, as well as training activities carried out by the beneficiary population, and aggregated managerial reports that will allow the crossover of variables by location, economic sector, age, sex, etc. Currently, the IAP's actual monitoring system is currently paper based and does not allow any form of semi-automatic aggregation of information.

Knowledge Assessment Study (KAS)

The main purpose of the knowledge assessment study (KAS) is to provide an estimation of knowledge gaps about forced labor issues among forced labor stakeholders in Brazil. This assessment will employ primarily qualitative data collection methods including face-to-face semi-structured interviews with CONATRAE, COETRAEs, National Pact member companies, forced labor vulnerable population, and stakeholders in general, as well as focus groups to refine and crosscheck findings and lessons learned identified during the interviews. Complementary purposes of the KAS are: To inform the communication strategy to be developed under supporting objective 1.2 and, in the case of the KAS replication after the communications campaign implementation, to help managers and implementing agents to infer to which degree project's activities are suitable to achieve the intended results in terms of reducing knowledge gaps about forced labor.

Hard to See, Harder to Count Adaptation

This survey is adapted from the "Hard to See, Harder to Count" methodology that was developed and tested by ILO in several countries as an effective tool to produce robust estimations of the incidence and prevalence of forced labor in a given area for a given period of time. This methodology takes the format of a household survey which sampling strategy is thoroughly devised (using for example snowball techniques) as the forced labor phenomenon is characterized by its invisibility and forced labor victims are hard to reach. In Brazil, the survey will be adapted to cover population cohorts identified by socio-economic characteristics as similar to the profile identified through the Mobile Inspection Unit database. So far, there is no decision regarding where to conduct such survey, but it is agreed upon the project, the USDOL and national counterparts that the survey will be conducted only with government approval and in only one federative unit in Brazil. Among possible states are Mato Grosso, Pará or Maranhão given the already identified prevalence of forced labor in these states related to both sides: supply and demand, of the forced labor phenomenon.

Sector-Specific Supply Chain Research

This innovative kind of research is built upon a mixed-method approach that was developed by project's implementing agency NGO Repórter Brasil. It uses the format of case studies focused on

specific economic sectors in which evidences of forced labor where found before. Additionally, network mapping analysis techniques are used to map commercial transactions throughout the entire supply chain and therefore leverage the use of the “Dirty List” and better inform relevant stakeholders in Brazil about the supply side of forced labor prevalence in the country.

Sector-Specific Demand Research in Peru

This qualitative research, in the format of case studies, focuses on three specific sectors of the Peruvian economy: Illegal timber logging, informal mining, and domestic work. In these cases the data gathering process will support the definition of specific demographic profiles, as well as overall productive characteristics of workers vulnerable to forced labor cooptation.

SECTION IV. BASELINE STUDY PLAN

A. Baseline Study Purpose and Use

As mentioned above, the Project's strategy to provide livelihood services is based on an intervention already under implementation. The project's *Intermediate Objective 4: IAP Livelihood Intervention Strengthened and Better Positioned to Reduce Socio-Economic Vulnerability of Groups Susceptible to Forced Labor in Project's Intervention Area* is about supporting the IAP and expanding it to other regions of Brazil, thus creating a national strategy to reduce vulnerability to forced labor.

The project plans to conduct a baseline study, using IAP already existing database, that is comprised of four components that will provide valuable information about the IAP, its direct and potential beneficiaries (forced labor rescued workers and forced labor vulnerable populations), possible public or private partner institutions and service providers in the targeted municipalities in Mato Grosso.

This tailored data collection and processing will facilitate the identification, location, and approaching of the direct beneficiary population. The baseline study will (a) develop reliable project targets and identify direct beneficiaries, (b) inform project design and activities, including the identification and development of relevant services to potential direct beneficiaries since it will also support the identification of social protection schemes in areas where the intervention is implemented.

The Cooperative Agreement states that the baseline data must be used to establish benchmarks, contribute to the measurement of project impact, and inform management decisions through the period of project performance. This will be achieved through the integration of the proposed baseline and endline studies, with the CMEP monitoring strategy, and the IAP's Direct Beneficiary Monitoring System (DBMS).

The IAP's data used for their actual approaching strategy (active targeting) comes mostly from the Secretary of Labor Inspection and the Regional Superintendence of Labor and Employment in Mato Grosso, both departments of the Ministry of Labor and Employment (MTE). The data comprises information regarding rescued workers in Mato Grosso and victims from other states that are originally from Mato Grosso. This database is organized as a set of socio-demographic variables allowing the proper definition of the beneficiary population profile. In addition, it uses a complementary set of characteristics related to these workers' professional experience and aspirations, as well as a set of household information[17]. The conjunction of these three sets of data

[17] This information is collected by the IAP's team in the field and it brings information about the physical characteristics of the household, patterns of income and expenses, demographic composition and professional and educational characteristics of the household inhabitants. The vulnerability to forced labor is correlated with extreme poverty. This data therefore will help to identify the "poverty level" of its inhabitants and therefore defining their vulnerability to be coopted by forced labor schemes.

resembles the key information that would be collected through a traditional household baseline survey approach, and even offering a more detailed picture of the direct beneficiaries' profile and location. The key issue here is to help the IAP to develop a methodology that can be applied in other settings where public officers are not as well trained as in the case of the IAP, and therefore they have no idea how to conduct an active search of potential direct beneficiaries.

The data collected and analyzed during the baseline study will feed the IAP's DBMS. Complementarily, the endline study will be built upon specific modules of the IAP's DBMS to measure changes in the socioeconomic and professional profile of the beneficiary population after they are supported and trained by the IAP intervention. For example, there is no need to recollect data about the treated population contact information (just validated the available information), etc. On the other hand, the modules related to the household socioeconomic status and characteristics, the individual income, education, training, and employment status will be updated so it will be possible to build a qualitative logical counterfactual, mostly using qualitative evidence to rationally link the dots and show how the IAP's intervention potentially impact the direct beneficiary population over time. Suggestions will be discussed with IAP teams to improve data collection procedures regarding intake and exit forms, including possible links between forced labor and migration status, forms of recruitment into forced labor, and more detailed information about the beneficiaries' employment history. Some of this information is likely to inform the selection of outliers with explanatory power that can be analyzed through a case studies approach.

This baseline study will be implemented through a series of individual consultancies to be conducted during the first semester of 2015, and this baseline study proposal comprises four integrated studies, based on desk research and available data as presented below:

I. Institutional and Territorial Mapping

This study aims to provide information for all intervention municipalities. The project will provide local policymakers with crucial data regarding: a) the overall employment and social demographic context including information on all decent work indicators[18] and social protection in the targeted

[18] The set of decent work indicators to be used in this study was innovatively developed by the ILO Brazil Country Office. The unit of analysis are municipalities in Brazil (N=5,570). Ten dimensions were defined to facilitate the "measurement" of decent work at the municipal level 1) access to employment opportunities; 2) wages adequacy and productive work; 3) decent work journey; 4) work, private life, and family conciliation; 5) abolished forms of work; 6) work safety and stability; 7) equal opportunities and treatment in the work environment; 8) safe working environment; 9) social security, and 10) social dialogue and workers and employers representatives. These dimensions are measured in relation to the social and economic context that determines the prevalence of decent work through a basket of XX indicators, including: 1)Municipal HDI; 2) FIRJAN Municipal Development Index; 3) percentage sectoral GNP participation; 4) percentage of population under extreme poverty conditions; 5) percentage population dependent on cash transfers; 6)percentage of occupied workers by main sectors; 7) percentage of formal and informal sectors distribution; 8)number of companies and subsidiaries; 9) de-occupation rate; 10) informality rate; 11) medium work income; 12) percentage of workers in journeys of more than 44 hours; 13) gender and race rate of informality; 14) percentage of workers experiencing abusive home-work journeys; 15) prevalence of infant labor; 16) number of apprentices by age; 17) number of children and adolescents rescued from irregular working conditions 18) percentage of workers in formal positions; 19) percentage of workers with pensions contribution; 20) number of working accidents; 21) number of working related deaths; 22) number of PRONATEC beneficiaries; 23) number of Bolsa Família beneficiaries; 24) number of BPC beneficiaries; 25) Bolsa Família generated income; 26) BPC generated income; 27) illiteracy rate; 28) percentage of population by educational level; 29) frequency net rate; 30) percentage of professors with graduate degrees; 31) number of

municipalities; b) the availability of social protection schemes/programs and institutional actors that can contribute to the process of reducing beneficiaries' vulnerability. This study, in alignment with the Cooperative Agreement baseline study is to: (b) inform project design and activities, including the identification and development of relevant services to direct beneficiaries. It is necessary because a key part of the project's Intermediate Objective 4 (Reduced Socio-Economic Vulnerability of Groups Susceptible to Forced Labor in Project's Intervention Area) is to guarantee that the beneficiary population has access to social protection schemes, assuming that this will have a direct negative effect on the vulnerability of the direct beneficiary population.

This study will provide information that can support the development of a tailored intervention at the municipal (or community) level what can potentially leverage the IAP's intervention effectiveness since part of the intervention is to connect the identified direct beneficiary population and services providers at the municipal level.

The information compiled by this study is cross-referenced and aligned with national data systems (such as micro data from the Census and PNAD that were used to calculate the most of the indicators listed in the footnote n$^{o.}$ 19). The unit of analysis of this study are the municipalities in Brazil, and the tabulation of the institutional and territorial information will be produced for all municipalities in the country (N=5,570), so there is no need to address sampling issues. Data collection instruments and methodologies used in the Brazilian Census and the PNAD are considered a benchmark for statistics institute around the world so the proposed use of secondary data sources will save resources from the project that does not have to invest in collecting this kind of data. At the same time the veracity of the information is guaranteed since the institution responsible for the data collection and processing is famous for the quality of its work. Also, this study will provide data to inform the ***Institutional and Territorial Mapping Georeferenced Study*** detailed below (item III of the Baseline study).

II. Direct Beneficiary Population Profile and Location

The project's direct beneficiaries are workers rescued from forced labor and vulnerable workers, namely those workers whose socio-economic and professional profile are similar to the socio-economic and professional profile of rescued workers. These are presently identified through snowballing techniques, but the project aims to support the development of a tailored targeting strategy that will support the IAP team in their active search activities that goes beyond the use of the actual snowballing technique.

Rescued workers are victims who have been freed from forced labor conditions by the Government and are listed in the Ministry of Labor and Employment's (MTE) database that provides contact information for this people, and therefore an initial form of contact that is the starting point of the actual targeting strategy. Vulnerable workers are defined as adults vulnerable

professional education establishments; 32) proportion of adequate households by types of sanitation; 33) IDSUS index; 34) number of available CAPS; 35) number of available CAPS by type; 36) offer of social services by type; 37) social services activities by type; 38) social assistance municipal council existence; 39) civil society participation in social assistance municipal council; 40) number of governmental employees; 41) number of governmental employees by thousand inhabitants; 42) number of governmental employees by type; 43) percentage of stable governmental employees; 44) human rights municipal council existence, and ; 45) municipal level forced labor policy existence.

to being trapped into forced labor conditions in receiving communities. These vulnerable workers are a part of the social networks of the rescued workers (i.e., relatives, friends, neighbors), and because of that they are also registered by the IAP's DBMS. The project will give preference in targeting workers who have experienced forced labor but who were not rescued by the MTE inspection raids, or those who are unemployed or in precarious informal work.[19] In the policy world this approach is often called focal active targeting, where the policymakers and service providers actively search for beneficiaries that are targeted by a given initiative because of their socio-economic profile. There is no need to develop sophisticated algorithms to determine who are these people, they are workers from areas where the project is active that are identified through snowballing techniques, being the initial point the MTE's rescued workers database, or they simply are a population cohort immersed in a context of extreme poverty and lack of opportunities for self-development.

The IAP already has a database (information from the 4 years they have been operating) that allows the identification of socio-demographic characteristics and the production of the target population profile. Also, the available information supports the identification of the municipalities (including communities) where rescued and vulnerable workers are more likely to be found by simply matching the already treated population profile with the profiles of potential targets.

Between 2009 and September 2014, for example, the IAP approached 1,622 potential beneficiaries, including 473 rescued workers and 1,149 vulnerable individuals identified through snowballing techniques, reaching 73 municipalities in the state of Mato Grosso.

Data available from the IAP shows that 39.5% of these workers were born in Mato Grosso, 11.8% in Maranhão, 8.5% in Paraná, and 6.1% in Goiás. The remaining 34.1% of workers in the database were born in 20 other states. This demonstrates that the workers rescued in Mato Grosso were originally from 24 out of 27 Brazilian states. Preliminary data analysis also shows that 96.4% of these workers are men, and 29.4% are completely illiterate. Another 43.5% have incomplete primary education. Only one among the 1,618 workers is a child (15 years of age). Finally, 37.2% worked in agriculture and 29.1% in cattle raising. Between 2009 and September 2014 the IAP offered 33 different vocational training and literacy courses (most of them for vocational training) comprising 611 enrolled beneficiaries. Ninety percent (90%) of them completed the courses.

III. Institutional and Territorial Mapping Georeferenced Study

Once the data collection and institutional and territorial mapping analysis (Study I) is completed, it will be possible to plug this information in a Geographic Information System (GIS) to produce a set of maps which will identify municipalities where it is more likely to find rescued and vulnerable

[19] This follows the rationale that rescued workers are only the tip of the iceberg and that the number of workers that are or have been under forced labor conditions is significantly larger (however, the numbers are unknown). Therefore, the assumption is that in the areas (or nearby areas) where rescued workers live, there will be a high number of vulnerable people that have undergone similar situations, albeit never been rescued by the Mobile Inspection Groups. This can be corroborated by the experience of the Integrated Action Program that has found that when a rescued worker from the list is identified, other workers within his or her community and social network tend to work under forced labor conditions.

workers (target population). So this study will georeferenced the information collected and processed for the study I - Institutional and Territorial Mapping.

IV. Territorial Mapping and Vulnerability Socio-Demographic Profile Matching

The fourth study will integrate findings and lessons learned from the previous proposed studies that will be conducted for this baseline research. Once the institutional and territorial mapping information is georeferenced at the municipal level (an analytical exercise that can, if wanted, be reproduced for each one of the 5,570 Brazilian municipalities) it will be possible to cross this data with findings from the direct beneficiary population profile. This will allow the project to identify within the municipalities, populations with similar vulnerable profiles, resulting in a set of maps that can precisely inform the places where the IAP team is more likely to find its beneficiary groups.

The estimated time frame to complete all activities is 4 months, and the proposed budget is USD 50 thousand.

An endline study will be conducted four to six months before the project ends. The endline study is essentially a repetition of the baseline study third component (**Post Intervention Direct Beneficiary Population Profile and Location)** that will be repeated to provide information about the achievement of the indicator targets, effectiveness of interventions, and the status of the project's objectives in terms of the project's livelihood provision strategy. Special attention will be placed on identifying improvements in the working and education status of direct beneficiaries and changes in socio-economic status of households. The project will produce an endline study report that includes a comparative analysis of the study results. The report will include methodologies, results and their interpretation, quality assurance, limitations of the study, and data tables.

Once completed, the baseline study report, comprising the convergence of the four proposed components, will be presented to stakeholders. The analysis will provide policymakers with an accurate picture of the profile of forced labor victims, and services available to this population, within the context of the proposed baseline study, also presenting its limitations. The baseline study results may contradict or complement the existing understanding of the problem, which for the most part has been based on policymakers' perception about rescued victims since no study of this kind has ever been conducted nationwide in Brazil. Below, is the format of the Baseline and Endline reports, as well as indirect products that are expected to be produced.

Expected Direct Products

- Baseline Study Report
    - Institutional and Territorial Mapping Report
    - Direct Beneficiary Population Profile and Location Report
    - Institutional and Territorial Mapping Map Collection Georeferenced Study
    - Territorial Mapping and Vulnerability Socio-Demographic Profile Study Matching
- Endline Study Report
    - Institutional and Territorial Mapping Report
    - Direct Beneficiary Population Profile and Location Report

Indirect Products

- Institutional and Territorial Mapping methodology developed and available
- Territorial Mapping and Vulnerability Socio-Demographic Profile Matching methodology developed
- Initial analysis of sampling data to be used by the "Hard to See, Harder to Count" methodology prepared

In addition to presenting the baseline study report to stakeholders, it will be used by the project team to refine project activities and targets and inform management decisions, including the selection of target communities for project intervention and services to be provided by the project intervention.

B. Description of Baseline Data Collection Procedures, Responsibilities, and Timeline

The baseline study will collect quantitative and qualitative data from both primary and secondary data sources. Through the support of the project, the IAP's database will be improved to gather largely primary quantitative and qualitative data from beneficiaries and their households while the Institutional and Territorial Mapping study will focus on the use of data from governmental institutions, including official national statistics, and other relevant studies and reports. The IAP's data collection tools will be carefully prepared so they can be administered consistently and reliably at different times. The M&E Officer and the IAP's team will be the main responsible parties to guarantee adequate data collection procedures and data processing, The M&E Officer and the Project Director will be responsible by the overall quality of the proposed studies. The baseline study report, including all its components, will be ready in approximately four months after the beginning of the baseline study activities.

It is worth noting that the sampling strategy proposed for the baseline study is quite similar with the ILO methodology developed for the Hard to See, Harder to Count survey, a programmatic activity that's is expected to be conducted by this project. Once we tabulate and analyze the data for the baseline study we will be able to inform the person who will conduct the sampling for the Hard to See survey what are the municipalities where it is more likely to find population cohorts that might be potentially coopted by forced labor, possibly improving the Hard to See survey sampling strategy for Brazil.

C. Baseline Data Collection Procedures

Data collection procedures for the IAP's database and the institutional and territorial mapping are described and discussed below. The other two components of the baseline study will focus on data processing and analysis.

The IAP's database data collection instrument is a semi-structured questionnaire with closed and open-ended questions that includes modules covering project-specific topics focusing on household demographics, living conditions, household socio-economic data and livelihood

strategies and opportunities. An online system will be developed to facilitate data gathering, data processing and to generate specific managerial reports and analyses. The IAP's questionnaire improved version will be pilot-tested. This testing will help identify weakness in the tool that can be adjusted.

Data generated by the IAP's database will be timely, secure and in a format that is practical, valid, reliable, user-friendly and that assures quality control. Data will be disaggregated by gender, age, race and other appropriate demographic characteristics, including economic status, education and region of birth. Data will be coded and entered into the appropriate databases.

The project does not need to collect data for the Institutional and Territorial Mapping Geo-referenced study. The data is already available through the Brazilian Census of 2010, and the Brazilian Household Sample Research (PNAD). Micro data for the Census block level will be made available through a partnership with the Brazilian Institute of Geography and Statistics that is the institution that carries out the Census and the PNAD.

D. Baseline Data Collection Responsibilities and Timeframe

Table 3, below, shows the person responsible and timeframe for each of the baseline study activities.

Table 3. Baseline Study Responsibilities and Timeframe

Baseline Study Component	Responsibility	Month 1	Month 2	Month 3	Month 4
Institutional and Territorial Mapping study					
Data gathering and analysis	Consultant and M&E officer with support of project director and field officer				
Reporting					
Direct Beneficiary Population Profile and Location study					
Data gathering and analysis	Consultant and M&E officer with support of project director and field officer				
Reporting					
Institutional and Territorial Mapping Georeferenced study					
Data processing	Consultant and M&E officer				
Territorial Mapping and Vulnerability Socio-Demographic Profile Matching study					
Data processing and analysis	Consultant and M&E officer				
Reporting					
Complete baseline study report and dissemination					
Reporting and dissemination	Consultant and M&E officer with support of project director and field officer				

SECTION V. EVALUATION PLAN

As stated in the project's cooperative agreement and the 2012 Management Procedures & Guidelines, USDOL and the ILO view project evaluations as a fundamental part of assessing the project's performance and effectiveness. It allows the ILO and USDOL to assess progress that has been made towards the achievement of project objectives, identify facilitating and hindering factors and attribute achievements to project interventions. Evaluations are also an important learning opportunity. The project is strategically conceived to support the identification and systematization of knowledge about good practices that can be adapted and replicated in other settings. The following section discusses the two project evaluations as well as a special study that will be undertaken by the project.

A. Project Evaluations

Page 10 of the cooperative agreement states, "the project will undergo mid-term and final 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 the degree to which the project is meeting (in the case of an interim evaluation) or has met (for final evaluations) its goals and objectives."

These evaluations are external and independent, and will be implemented in accordance with USDOL's and ILO's rules and regulations, procedures and directives on evaluation that considers the following elements.

A designed evaluation manager outside the grantee (identified as per DOL evaluation policy and under the supervision of the DOL Monitoring and Evaluation Division) will coordinate the planning and implementation of the evaluations. External independent evaluations will be carried out by third party external evaluators who will design and implement the evaluations. ILO and USDOL will provide inputs to the evaluation's Terms of Reference. The project will assist in the planning and finalization of the evaluation schedule. In-country fieldwork for these evaluations typically last two weeks, sometimes three weeks in the case of multiple-country projects such as this; and there is a stakeholder workshop at the end of the two-weeks.

Evaluation criteria, as per ILO and USDOL evaluation policies cover the following items: validity of project design, progress and effectiveness of intervention strategies, efficient use of resources, effectiveness of the management structure, and progress towards the expected impact and sustainability of the intervention's results.

As per the consultative ILO evaluation practice, the evaluation process will involve the national and state commissions (CONATRAE, CNLCTF, and COETRAE) as appropriate, including during the formulation of the TORs, in fieldwork and to participate in workshops to validate initial findings of the independent evaluators once fieldwork has been concluded. Finally, these key stakeholders will also receive a copy of the draft evaluation report for review and comment. The mid-term and final evaluations are discussed in more detail below.

External Independent Mid-term Evaluation

The mid-term evaluation is scheduled to be conducted in March 2015. It is a formative evaluation and represents an opportunity to identify ways to make midterm modifications to ensure the project's proper implementation, and therefore the achievement of the intended objectives within

the lifetime of the project. The evaluation will be designed by third party external evaluator in collaboration with the ILO, the project, USDOL and other key project partners and stakeholders. It will include the evaluation questions and data collection tools and methods, as central elements in the evaluation TORs.

The interim evaluation will use information collected during the baseline study as well as PMP data to assess project progress against up-to-date planning and life-time targets. Among other issues, it will assess: the way in which interventions have been implemented; the rationale for the allocation of interventions among different target groups; the project's networking with key institutions, including private sector engagement strategies; stakeholders' participation in project implementation; feedback from beneficiaries, implementing partners and local level leaders with regard to project implementation; the effectiveness and challenges in implementing the beneficiary tracking system; and the timeliness and level of progress in attaining the project's targets.

While the terms of reference and evaluation questions will determine the precise set of issues to be addressed during the mid-term evaluation, the project anticipates that the following issues will factor into the terms of reference.

- How appropriate was the project's strategy given the context of both countries?
- How effective and appropriate were the interventions given the features of target communities?
- How effective was the project in collaborating with and assisting key institutions related to the fight against forced labor?
- Are project direct beneficiaries, local leaders and implementing partners satisfied with project implementation?
- Was the CMEP implemented in an effective way, including reporting and data quality oversight mechanisms?
- How effective was the implementation of the DBMS on IAP? Which where the main challenges in implementing the DBMS?
- Is the project progressing in a timely manner towards attaining its targets? Which interventions show more/less progress?
- Are there any lessons learned up to date that can be used to improve project implementation?
- Which would be the main issues to address in order to improve project delivery and M&E systems implementation during the second part of the project?
- Has the project effectively and efficiently mainstreamed gender/ethic/diversity sensitivity?

External Independent Final Evaluation

The final evaluation is a summative evaluation that is intended to document the progress the project made in achieving its intended objectives, as well as any unintended effects generated by the project. The final evaluation will provide information on the outcome of the project in terms of its efficacy and efficiency in attaining its objectives, the quality of project implementation and the sustainability of its results. The final evaluation will also aim to validate the factors that contribute to the project's ToC at various levels (such as institutional efforts regarding policy and capacity building, contextual factors, project interventions, etc.). It should allow the project to learn about

which interventions may have external validity and possibilities for replication, and should help identify good practices in project implementation.

The final evaluation will assess if the project was implemented as planned in the CMEP and PRODOC documents or if there were significant deviations. In order to assess the project's outcome in a comprehensive manner, the final evaluation will consider the baseline study, PMP, and Results Framework, subsequent endline study, cumulative information from the monitoring system and results from special studies and field assessments.

Like the mid-term evaluation, the focus of the final evaluation will depend on the terms of reference purpose and evaluation questions.

USDOL has suggested a range of potential areas that the evaluations might examine. These will be considered for the preparation of the midterm and final evaluation as per usual evaluation procedures, by the designated evaluation manager. The project intends to discuss these suggestions in more detail with USDOL so they can be refined and eventually converted into evaluation questions. These include:

- Were the midterm evaluation's recommendations incorporated into the project's management? Did they result in significant improvements in project implementation and effectiveness?
- How useful were the forced labor survey developed in Brazil and the studies developed in Peru to the project's national counterparts? Are these studies' knowledge incorporated in national plans to combat forced labor and other official documents? Are these studies' knowledge appropriated by national institutions?
- What are the main features of Brazil's National Pact restructuring? What kind of results were achieved by the restructuring, and how sustainable are these results?
- Does the National Plan in Brazil have now a monitoring system to support the Plan´s implementation? What findings and lessons learned can be used to stimulate the production of similar systems for state plans to eradicate forced labor?
- Was Mato Grosso's IAP strengthening and replication strategy effective? What are the key processes in promoting the IAP replication?
- Was the IAP's Direct Beneficiary Monitoring System appropriated by IAP's personnel? Does the IAP replication stimulate the use of the IAP's DBMS in other settings?
- Have the exchange program and South-South cooperation activities implemented in Brazil and Peru resulted in the effective transfer of knowledge and technology between these two countries? What can be learned from this process to formulate a future cooperation agenda?
- Has the training of law-enforcement officials in Peru resulted in the development of capacities and strengthening of institutions? If so, how have these enforced capacities contributed to the fight against forced labor in Peru?
- Was the roadmap for implementing the inter-agency protocol to coordinate efforts against forced labor fully implemented in Peru? What have been the practical effects of the implementation of the roadmap in combating forced labor in Peru?

B. Special Study

The project currently plans to undertake one special study in Brazil to produce estimates of forced labor incidence and prevalence in selected state(s). This forced labor survey will be implemented, subject to government approval, at the state level. The Special Action Programme to Combat Forced Labor (SAP/FL) has developed a survey methodology[20] that can provide a trustworthy estimate of the prevalence of forced labor among adults and children. The survey guidelines were developed to share experiences and lessons learned by the ILO between 2007 and 2010 regarding the implementation of household surveys on forced labor and human trafficking. These surveys aim to estimate the prevalence of forced labor in a given context taking into account the specific mechanisms of recruitment and coercion imposed to the workers in this context. The analysis provides policy makers with a descriptive analysis of the victims of forced labor, their socio-economic background, their recruitment and the working conditions imposed on them. Guidance related to indicators and questionnaire design can be employed equally for qualitative and quantitative research as well as for the design and processing of databases. The ILO makes this methodology available to any country that wishes to apply it to their national context.

The project intends to take the following eight steps to develop the forced labor survey.

1. Conduct a preparatory workshop to adapt indicators on forced labor and forced child labor and establish the scope, work plan and budget for the survey. During the workshop, stakeholders will draft technical specifications for the survey, including what precisely constitutes forced labor in the Brazilian context.
2. Design the survey, including sampling methodology and survey questionnaire.
3. Pilot test the reliability and validity of the questionnaire.
4. Train the enumerators to administer the questionnaire. In addition, enumerators will be trained on what constitutes forced labor in the Brazilian context and will receive ethical guidelines on how to approach interviewees.
5. Implement the survey.
6. Analyze the data. The analysis will begin by identifying the prevalence of forced labor based on the set of indicators developed during the workshop. Next, a descriptive analysis of victims will be completed followed by an analysis of the mechanisms of forced labor. These would include recruitment, working and living conditions, possibility to leave the employer and use of coercive measures.
7. Conduct a final workshop to present and validate the results of the survey.
8. Finalize, validate and disseminate the final report to key stakeholders and the media.

These steps will be conducted in partnership with the government. The results of the survey will be important in providing stakeholders with valuable and reliable evidence of the nature and extent of forced labor, so that more effective and better targeted policies and programs can be designed and implemented.

[20] Hard to See, Harder to Count – Survey Guidelines to Estimate Forced Labor of Adults and Children, ILO, Geneva, 2012.

SECTION VI. IMPLEMENTATION AND MANAGEMENT OF CMEP

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

Monitoring is an integral part of project implementation. It helps better understand the changes associated with interventions, provides useful information to adjust approaches and strategies, and empirical data on the effectiveness and efficiency with which a project is carried out. For these reasons, it is important that project staff is involved in the monitoring process and that staff members are able to apply a results-based management approach to their day-to-day work. This section describes the specific roles and responsibilities of project staff in terms of data collection, analysis and reporting.

The Brazil and Peru-based teams will be responsible for the implementation and monitoring of the project in their respective countries. The project will have three key personnel that include the project director, a field officer and a monitoring, evaluation and knowledge management officer. In addition, the project will have a national officer in Brazil and another one in Peru. The project's managerial team will be supported by project assistants (two administrative assistants in Brazil, and one in Peru, plus one M&E assistant in Brazil). The M&E roles and responsibilities for each team member are described below.

Project Director: The project director (PD) will be responsible for the overall management of the project as well as for reporting to project stakeholders, ILO, and USDOL. The PD will serve as team leader and supervise the project teams in Brazil and Peru. The PD will use M&E information to make decisions regarding project implementation and progress towards achieving indicator targets. The PD will report to the ILO office in Brasília and SAP/FL management team in Geneva. He will also coordinate meetings with CONATRAE to inform it about project implementation, outputs, activities and milestones. In addition, when necessary, the PD will be responsible for contacting project stakeholders in case they are not providing information for the project monitoring system in a timely manner. The PD will also inform USDOL about project activities, including CMEP implementation. The PD will be responsible for approving research studies financed by the project and delivering two technical progress reports per year to be submitted to USDOL through standard ILO channels.

M&E Officer: The Monitoring Evaluation and Knowledge Management Officer (M&E officer) will assist the PD in project planning, implementation and monitoring of project activities in Brazil and Peru. The M&E officer will be responsible for the timeliness, data quality, analysis and final deliverables of all M&E activities planned for the project according to the CMEP document. The M&E officer will undertake regular field visits, at least once in a semester, to the different project locations to monitor progress, identify implementation challenges and provide evidence for corrective measures to be taken. Finally, the M&E Officer will oversee the development and implementation of IAP's DBMS.

Another important responsibility of the M&E officer is the implementation of the CMEP, including the development of a management information system for the collection and analysis of information. The M&E officer will support the project team in establishing a framework and system to integrate data collection, analysis, verification, validation and centralization of information on performance indicators. The M&E officer will manage data collection and will develop data collection forms and procedural documents. He will continuously update databases,

ensuring that data is produced in a timely manner, is available and is disseminated. He will also develop training materials and conduct training on M&E procedures, data quality control, and verification. The M&E officer will rely heavily on the appropriate project staff to provide the relevant information, as described in the PMP and DCT tables (see Annexes 5 and 8, respectively).

Research and other M&E functions will be subcontracted to national, state and municipal level institutions and other organizations. The M&E officer will ensure the development of terms of reference for the research and M&E functions, including the baseline studies. The M&E officer will be responsible for data quality control and verification of products delivered by subcontractors. In addition, the M&E officer will be responsible for the preparation and oversight of data analysis for reporting.

Finally, the M&E officer will organize monthly monitoring meetings with the project teams and he will support evaluation missions with logistics and other necessary arrangements. Based on milestones and activities planned for each period, the M&E officer will provide feedback to project management for strategic decision-making.

Field Officer: The Field Officer (FO) will provide support to the M&E component of the livelihood activities in Mato Grosso and the replication of the IAP in other states. He will be responsible for collecting data and drafting reports on the livelihood component. The FO will undertake regular field visits to different project locations, including target communities, to monitor and assess progress, identify any implementation problems and supervise the activities of the IAP team in Mato Grosso. He will also support the IAP team's monitoring of beneficiaries using the DBMS.

National Officer for Brazil: The National Officer (NO) for Brazil will be responsible for monitoring the project activities for intermediate objectives 1, 2 and 3, mainly on issues related to social dialogue and project activities related to employers and workers organizations. The NO will be responsible for collecting data on the status of the first three intermediate objectives and preparing draft reports that will be submitted to the PD.

National Officer in Peru: The National Officer (NO) in Peru will be responsible for monitoring project activities for intermediate objective 5. The national officer will assess progress, identify any implementation challenges, and take corrective measures after consultation with stakeholders and the PD. The NO will coordinate closely with the M&E officer and provide logistical support for the evaluation component in Peru.

Project Assistants: The project will employ two administrative assistants based in Brasília and one administrative assistant based in Peru, plus one M&E assistant based in Brazil. The project assistants will provide financial and administrative support to the M&E officer to ensure M&E activities are implemented according to the CMEP timetable and budget. The project's administrative assistants will help manage and systematize information and organize the project's database. The M&E Assistant in Brazil will be specifically responsible in assisting the M&E officer to manage the databases, project files and documents. The M&E Assistant will also be responsible to support the M&E Officer in providing relevant M&E information to government authorities, civil society organizations, universities and other relevant institutions if requested or needed.

ILO Geneva: The ILO SAP/FL team based in Geneva will be responsible for monitoring project activities in Brazil and Peru. An ILO Senior Officer will be assigned to undertake periodic monitoring visits to the project and participate in the mid-term and final evaluations. The SAP/FL

team will also backstop the preparation of the TPRs, undertake monitoring missions and share guidance notes and information about the project with the appropriate ILO teams in Geneva.

B. Management Information System

The project intends to develop a Management Information System (MIS) to establish the processes and procedures for collecting, storing and interpreting data and information. The MIS will serve as an important tool to help management to assess project implementation and make necessary adjustments if needed. The MIS will help ensure that indicator data are collected on time and other information needs are met, as well as guarantee data quality and the overall accountability of the system.

The key component of the MIS will be the IAP's Direct Beneficiaries Monitoring System (DBMS). Complementarily, the project aims to produce Gantt's Charts to monitor project's activities delivery and to develop a specific module, similar in approach to the DBMS, to facilitate the collection and analysis of data regarding institutional strengthening and capacity development activities in the format of an Indirect Beneficiaries Monitoring System (IBMS).

IAP's Direct Beneficiaries Monitoring System: The project's DBMS, built upon an existing version of the IAP's monitoring system, will be used to monitor and report beneficiaries of the IAP in Mato Grosso. The M&E Officer will be personally responsible for the DBMS overall development, for guaranteeing data quality control and for supporting data analysis and reporting.

The DBMS will allow for accurate documentation of the status of beneficiaries with respect to their initial status and regular progress reporting. The DBMS will capture verifiable information of the work status of beneficiaries, services provided to beneficiaries, including enrolment in vocational training and retention rates, and reinsertion into formal jobs. In this sense, the DBMS will be used as a quality assurance tool to validate the effectiveness of services provided. The DBMS will have a function by which data may be transferred to different statistical software formats, allowing the migration of data and therefore the production of more detailed data analysis, and the generation of a variety of reports to facilitate management decision-making and knowledge generation.

The DBMS will consist of an online platform that will be used by project management and implementing agencies to determine whether the services being provided are resulting in the expected outcomes in terms of reducing treated individuals vulnerability to forced labor. The project intends to hire an IT consultant to develop the online platform and support the training of data collectors throughout the project. Once the DBMS is developed, the IAP team will be responsible for primary data management. The IAP's team will be trained on the utilization of the DBMS including feeding information into the database and generating pre-formatted reports, under the supervision of the M&E Officer.

The profile for each direct beneficiary will be registered by the IAP team and entered in the database at the moment of admission to the program. Direct beneficiaries will be monitored on-site at least every six months during the life of the project through direct visits. Information will be entered in the online platform through a tailored apps developed for the project installed on mobile phone or tablets. Monitoring visits will be made to households, workplaces, and training centers to verify the status of the interventions when necessary.

The IAP team will be required to maintain a profile and a monitoring form for each beneficiary that is reported to the project, which must be submitted through the implementing agency's DBMS report. In addition, the IAP will be required to submit, at least, quarterly progress reports to the project and to provide complementary information when necessary.

To ensure data quality in the DBMS, project staff will visit a sample of households and intervention sites once beneficiaries are reported as having completed the program. Project staff will select a random sample of beneficiaries to visit and verify the accuracy of information collected and reported by the IAP team and complementarily collect data on project's effectiveness. The findings from the verification visits will be recorded, entered into the database and analyzed to assess quality and identify any data integrity issues. Data quality assurance measures are discussed in more detail below, under the data quality assurance procedures section.

In sum, this new version of the IAP's DBMS will facilitate data collection, data quality assessment, integration with national databases, database analysis and the production of timely and up to date managerial reporting. Information will be organized in a variety of ways, including the production of time series analysis, and will be linked to the project's livelihood component activities to facilitate analyses and produce reports about the direct beneficiary population profile evolution over time, quantify the interventions provided and, to the extent possible, collect information about changes in the direct beneficiary population's lives that may be related to activities developed within the project's livelihood component.

The project will hire an information and technology (IT) consultant to build the system around the data management and reporting needs of the project. The project's M&E officer will help the IT consultant to develop the database and maintain the system. If additional support is needed, an additional consultant will be hired. The cost for this consultancy has been included in the budget for the DBMS that will be nationally appropriated by the Mato Grosso IAP, possibly replicated in other states, and therefore become sustainable over time, besides its potential to become the basis of a national database to monitor the provision of services for forced labor rescued workers and forced labor vulnerable populations.

Activities Delivery Gantt Chart: A Gantt chart of project activities will be developed to map and monitor project activities delivery. The Gantt chart illustrates planned and actual start and finish dates of programmatic components. The Gantt chart will be important to follow up the proper delivery of activities in case of any delays in project implementation. The project's Gantt chart will be updated every three months to reflect project achievements and help in the identification of implementation bottlenecks.

Indirect Beneficiaries Monitoring System (IBMS): The IBMS will have a similar format to the DBMS as an online tool that will facilitate collection and processing of data related to those project interventions focused on institutional strengthening and capacity development . As in the DBMS the project team will be required to maintain a profile and a monitoring form for each indirect beneficiary institution that is supported by the project (e.g. CONATRAE, COETRAEs, etc.). Aggregated data and crosstab analysis will be provided by the IBMS, as well as pre-formatted reports.

C. Coordination with Implementing Partners

The project director, with the support of the M&E Officer, is responsible to coordinate with the main implementing partners and stakeholders for successful implementation of the project's monitoring component. The project director will ensue that partners are aware of their M&E responsibilities. The M&E Officer is responsible for certain activities such as collecting data and reporting as well as participating in project evaluations. The project will keep the partners informed about the status of project implementation and the attainment of targets and milestones.

The project will coordinate M&E activities with government institutions at the national level in Brazil and Peru and at the state and municipal levels in Brazil. It will also coordinate with employers' and workers' organizations, civil society organizations and research institutions. These different levels of coordination are explained in more detail below.

CONATRAE and CNLCTF: The National Commissions, both in Brazil and Peru, will be the main counterparts for the project since they bring together the most relevant tripartite stakeholders concerning national policies to combat forced labor. CONATRAE and CNLCTF will provide important data for some indicators of the project's M&E system; they will implement mobilization and public awareness campaigns and will establish a monitoring system for their national plans. The project will keep the Commissions informed about project implementation through periodic meetings.

Labor Ministries and Labor Inspection Services: The labor ministries in Brazil and Peru will be important counterparts for providing data and supporting monitoring of project activities. They will be key participants in exchanges to identify good practices and lessons learned in Brazil and Peru. They will be responsible for generating quantitative and qualitative data from the forced labor database, identifying target groups and monitoring community activities. The project will conduct periodic coordination meetings with the labor ministries and inspection services of both countries. In addition, the project will communicate regularly with these by email and telephone.

The Ministry of Social Development in Brazil: The project will coordinate with the Ministry of Social Development to monitor indicators related to IAP beneficiaries. The main coordination mechanisms will be periodic meetings, email, and telephone calls.

Ministries of Foreign Affairs / Brazilian Cooperation Agency / Peruvian Cooperation Agency: Under intermediate objective 5 the project intends to establish a South-South cooperation exchange program between Brazil and Peru. The foreign affairs ministries and cooperation agencies of both countries will be key stakeholders in monitoring the activities and initiatives undertaken under the exchange program. The exchange program's outputs and activities, which will be aligned with the project's outputs and activities, will be monitored by the project. The project intends to conduct regular meetings with the above to ensure effective coordination. The meetings will be supplemented with email and telephone calls as necessary.

COETRAEs: The State Commissions in Brazil will be responsible for providing information regarding the monitoring of the state-level Plans to Eradicate Forced Labor. The project will participate in COETRAE meetings and maintain close contact with the COETRAE coordinators in selected states through email and telephone.

MTE's Regional Superintendence of Labor and Employment in Mato Grosso and IAP Team: The Ministry of Labor, through its Regional Superintendence and the IAP team will be the main counterparts for the livelihood program in Mato Grosso. The project intends to develop the DBMS within the IAP to strengthen the initiative and ensure sustainability. The project's field officer will have constant presence in Mato Grosso and be tasked with coordinating with local labor ministry officials and the IAP team. The field officer will organize periodic meetings with the IAP team and report to the M&E officer. In addition, the DBMS will eventually include a set of operating procedures that will facilitate communication and coordination among the partners.

Municipal Secretariats in Charge of Social Assistance: Municipal secretariats in charge of social assistance, especially the CRAS and CREAS (referral centers for social assistance at the municipal level) will be key project partners in monitoring beneficiary households in target communities. The field officer will take responsibility for coordination activities with the above, which will include periodic meetings and communication through email and telephone.

Employers' Organizations: The project will work closely with employers' organizations, especially the "S" system, to enhance their capacity to raise awareness among members on corporate social responsibility, participation in social dialogue groups and vocational training. CNI and CNA in Brazil and CONFIEP in Peru will be key stakeholders for the dissemination of awareness raising campaigns and research undertaken by the project and will be key in supporting monitoring activities of the national programs. In Brazil, the "S" system will be a partner in providing information on indicators related to vocational and skills training of beneficiaries and on research related to developing and adapting pedagogical content for the vocational training courses. At the national level, the project will coordinate with employers' organizations through meetings and direct contact with the focal points that participate in the respective National Commissions. At the state-level in Brazil, the project will coordinate with the relevant state-level federations of employers and with the directors of the different institutions participating in the "S" system.

Executive Secretariat of the National Pact for the Eradication of Forced Labor: The National Pact's Executive Secretariat will provide information on the indicators related to the National Pact. The coordination mechanisms will include periodic meetings with the Executive Secretariat and regular meetings of the National Pact's Deliberative Committee.

Workers' organizations: The project intends to develop and implement activities aimed at strengthening workers' organizations in Brazil (CONTAG and CUT, among others) and Peru (CUT and CATP) so they can more effectively participate in the National Commissions. Due to their large membership numbers and networks, workers' organizations will be key in disseminating forced labor information and the results of project research. The primary coordination mechanism will be participation in CONATRAE and CNCLTF. In addition, the project will conduct meetings and communicate by email and telephone as required.

Civil society organizations: Civil society organizations such as Reporter Brasil, the Pastoral Commissions of the Catholic Church and community based organizations will be responsible for implementing awareness raising campaigns on forced labor and establishing social support networks in the project's intervention areas. These organizations will help monitor beneficiaries and disseminate information about forced labor. The project plans to develop a communication strategy that will specify the coordination mechanisms and procedures that the field officer will use to coordinate and communicate with the civil society organizations in relation to the IAP.

Research Institutions: IBGE, IPEA and other state-level research centers will support the project in generating statistical data, conducting surveys, developing research baselines, analyzing data and developing research and evaluation methodologies. Some of these institutions will be contracted by the project to implement research activities. The coordination and communication mechanisms and procedures will be specified in the terms of reference.

Universities: Universities will provide research information to the project on the nature and consequences of forced labor. Certain universities may be contracted by the project to develop and conduct research activities.

D. Data Quality Review

1. Initial Data Review

To ensure reliable, accurate and complete data, all data collected about direct beneficiaries will be reviewed and approved by implementing field staff (IAP Coordinator) before it is accepted into the database. The project's Field Officer will then review a random sample (5%) of the data validated by the IAP Coordinator to double check for reliability, accuracy and completeness of data. The M&E Officer will review all forms and data entry instruments validated by field staff and Field Officer and will cross-check information and request follow-up for incomplete or inaccurate data through systematic analysis of the database to be performed once in a year. Once in the year the project will conduct interviews with a sampling of 5% of direct beneficiaries to assess data accuracy and identify possible information gaps. The M&E Officer will certify that the data is accurate and complete, and data will be traceable to each data collector through their unique ID in the system. For paper forms, the interviewer names will be affixed to each form.

To ensure reliable, accurate, and complete data, all data collected about implementing partners' activities (training, workshops, etc.) will be reviewed and approved by the National Officer and the Administrative Assistant,; the M&E assistant will review a random sample (5%) of the data validated by implementing partners to double check for reliability, accuracy and completeness of data. The M&E Officer will cross-check information and request follow-up for incomplete or inaccurate data through systematic analysis of the database to be performed once in a year. The M&E Officer will certify that the data is accurate and complete and data will be traceable to each data collector (implementing partner) through their proper identification in paper forms, attendance lists, and evaluation questionnaires.

2. Data Validation Process

Project staff will conduct regular data checks by randomly sampling data from the database and cross-checking with the source of information to validate the data. This type of quality control check will require regular visits to the field in order to triangulate information between field staff, data sources and monitoring forms. Project staff will visit households, training institutions and workplaces to meet with beneficiaries, families of beneficiaries and other stakeholders when

cross-checking information. If discrepancies are found in the sample data, project staff will establish a plan to expand the review in order to identify mistakes and take corrective action.

The table below contains the different roles and responsibilities for data collection, aggregation and validation in order to monitor IAP results and other project components.

Table 4: Data Quality Assurance Responsibilities per Type of Staff – Livelihood Intervention

Staff	Monitoring/ Data Aggregation and Data Validation Functions		Data Quality Verification		
	Average Caseload	Staff Role	Sample for Spot Check	Frequency of Spot Check	Level of Spot Check
Livelihood intervention (IAP)					
M&E Officer (1)	650	• Data Analysis • Stratification • Reporting • Feedback to implementers • Check overall data quality and consistence of system	100%	Annual	
M&E Assistant (1)	650	• Tabulation and aggregation of data			
Field Officer (1)	650	• Data validation by sample	5%	Semiannual	Random
Coordinator and Adjunct IAP (2)	325	• Data validation (100%) • Data entry system validation (100%)	50% each	Continuous	All beneficiaries
IAP technicians (2)	325	• Register of beneficiaries • Referral to project services and public services • Data collection (monitoring)			

Table 5: Data Quality Assurance Responsibilities per Type of Staff – Other Interventions

Staff	Monitoring/ Data Aggregation and Data Validation Functions		Data Quality Verification		
	Average Caseload	Staff Role	Sample for Spot Check	Frequency of Spot Check	Level of Spot Check
Other Interventions (training, social dialogue)					
M&E Officer	100[21]	• Data Analysis • Stratification • Reporting • Feedback to implementers • Check overall data quality and consistence of system	100%	Continuous and Semiannual Compilation	All activities
M&E Assistant	5	• Data validation by sample • Tabulation and aggregation of data	5%	Continuous and Semiannual Compilation	All activities
National Officer, Project Assistant	100	• Data entry and validation			
Activity implementer (consultant, NGOS,)	100	• Report attendance list and other information	Evaluation Questionnaire (rating of activity, knowledge)	On-going	All activities

3. Use of Data Quality Assessment Checklist

Apart from the direct validation of project data at various levels, **if necessary** a data quality assessment will be conducted at least once during the life of the project in order to assess the quality of some project indicators. It will use five key data quality standards: validity, reliability, precision, integrity and timeliness. Project staff will carry out a Data Quality Assessment on at least one outcome or output indicator per objective in Year 3. The M&E Officer will review forms and procedures for data collection to ensure quality control. A sample of the Data Quality Assessment Checklist form is included in Annex 6.

E. Reporting

The project will comply with ILO and USDOL reporting requirements in the Cooperative Agreement No. IL-23986-13-75-K and 2012 Management Procedures Guidelines[22]. These include the submission of TPRs to USDOL every six months with information on progress towards the project

[21] Once planned activities are refined and detailed the caseloads for each professional involved will be reviewed accordingly.

[22] The 2012 version of the MPGs, which contains child labor language, is being adapted and updated to include forced labor terminology. When approved by ILO and USDOL this will be the valid MPG for this project.

indicator's targets, issues affecting achievements, lessons learned, and emerging good practices. The ILO will submit the TPRs to USDOL on April 30 and October 30.

In addition to the TPRs, the ILO is required to submit a final technical and financial report no later than 90 calendar days after the project completion date. The final technical report will be a stand-alone document that provides a complete and comprehensive summary of the progress and achievements made during the life of the project. The latest or final project work plan will be submitted with the report. The report will also include information on the closeout process, the dates that programs were closed, and the financial closeout including an estimate of total expenditures in Brazil and Peru.

An electronic financial report will be submitted to USDOL on a quarterly basis while a final financial report will be sent no later than 90 days following the completion of the project. Upon request, the ILO will send copies of public reports related to the project as soon as they become available.

The project will also report on project activities to stakeholders mainly through CONATRAE and CNLCTF meetings to take place every two months. This reporting process is designed to ensure accountability, credibility and inform stakeholder about accomplishments, lessons learned and challenges and their solutions during project implementation. The project will inform stakeholders by written reports and meetings. The written reports will be simplified versions of the TPRs based on stakeholder key areas of interest. The meetings will include presentations to stakeholders on the project's progress, accomplishments and challenges.

Within the project, the IAP team will report to project management on direct beneficiaries through the DBMS. The M&E officer will report to the project director on a monthly or bi-monthly basis to provide a comprehensive overview of the project status via the work plan. The M&E officer will prepare graphic reports using tables, graphs and charts that will be presented and discussed with the project team during regularly scheduled meetings.

F. Budget for M&E and Research Activities

The following table shows the budget for M&E and research activities. It is important to note that research activities are not an integral part of the CMEP methodology. Rather, they are specific project activities that have been included in the budget for better visualization of what these activities are and to serve as input to the evaluations.

Table 6: M&E and Research Budget

Section	Description	Preliminary Budget USD	Revised Estimate after CMEP review	Justification for Change in Budget
A	**Special Study**	**182,000**	**182,000**	
1.1.1.1	Conduct preparatory workshop in selected state(s) to adapt indicators on forced labor (and forced child labor) for the purpose of the survey and establish its scope, work plan and budget.	25,000	25,000	
1.1.1.2	Design the survey, using ILO forced labor methodology, and conduct pilot test in selected state (s).	42,000	42,000	
1.1.1.3	Undertake survey implementation and analysis.	87,000	87,000	
1.1.1.4	Undertake workshop for presentation and validation of the results of the survey to sub-commission.	10,000	10,000	
1.1.1.5	Finalize, publish and disseminate final report results among key stakeholders and media.	18,000	18,000	
B	**Research***	**445,533**	**445,533**	
1.1.2.2	Map and analyze data collection mechanisms in Brazil regarding forced labor.	7,500	7,500	
1.1.2.3	Present findings and recommendations to the sub-commission for improvement of data collection mechanisms.	5,000	5,000	
1.1.3.1	Map and collect good practices on the combat of forced labor (by type of intervention).	7,000	7,000	
1.1.3.2	Conduct workshop to discuss and agree on the good practices in combating forced labor.	0	0	
1.1.3.3	Produce a publication on good practices to combat forced labor in Brazil.	12,000	12,000	
1.1.3.4	Translate the systematized good practices on combating forced labor in Brazil into English and Spanish.	15,000	15,000	
1.1.3.5	Disseminate the good practices.	25,555	25,555	

* The costs for the dissemination and translation (when applicable) of the research activities are included within the total of the activity. Their disaggregation can be found in the PRODOC detailed budget.

Section	Description	Preliminary Budget USD	Revised Estimate after CMEP review	Justification for Change in Budget
B	**Research (continuation)**			
1.2.1.1	Conduct an assessment study to determine the level of knowledge on forced labor among key stakeholders and beneficiaries prior to implementing the communication strategy and awareness-raising campaign.	20,000	20,000	
1.2.1.5	Create an institutional mapping, an orientation booklet for rescued workers informing them of their rights and how to access social and livelihood programs, and an informative folder for CRAS/CREAS.	12,000	12,000	
1.2.1.7	Conduct an assessment study to determine the level of knowledge on forced labor among key stakeholders and beneficiaries after communication strategy implementation and awareness-raising campaigns	18,000	18,000	
2.1.1.1	Support the National Commission for the Eradication of Forced Labor on improving the Plan's implementation, monitoring and evaluation mechanisms.	20,000	20,000	
2.1.3.1	Support the replication of the monitoring system for the National Plan (CONATRAE) to selected state plans (COETRAEs).	15,000	15,000	
2.1.3.2	Facilitate the exchange of good practices and information between selected states within the framework of the State Commissions to Combat Forced Labor (COETRAEs).	20,000	20,000	
3.1.1.2	Support the reformulation of the knowledge management tools (specifically the website and the monitoring system) of the National Pact.	35,000	35,000	
3.1.1.4	Analyze the results of the new monitoring system.	5,000	5,000	
3.1.1.5	Support the undertaking of an evaluation of the Pact's new management and financial structure after its first year of existence.	5,000	5,000	
3.2.1.1	Promote the development of sector-specific supply chain studies within the Pact.	30,000	30,000	

Section	Description	Preliminary Budget USD	Revised Estimate after CMEP review	Justification for Change in Budget
3.2.1.2	Conduct good practices study on how companies are addressing forced labor in their supply chains.	5,000	5,000	
3.2.1.3	Present and disseminate supply chain research (also conducted by other organizations) and good practices studies to relevant companies	10,000	10,000	
4.1.2.3	Conduct a diagnosis at the beginning of replication in selected state(s) to provide input on the implementation of IAP.	30,000	30,000	
4.1.2.5	Conduct a study during the last year of the project to measure the replicability effectiveness of IAP in selected state(s).	20,000	20,000	
5.1.1.1	Develop and update studies that characterize the victims, vulnerabilities, and supply chains (prioritizing illegal timber logging, informal mining, and domestic work, which are sectors highlighted in the National Plan, and possibly including other sectors or economic activities identified).	95,716	95,716	
5.1.1.2	Disseminate studies among key stakeholders.	14,262	14,262	
5.1.1.3	Identify, evaluate, and propose recommendations concerning the national data collection mechanisms linked to forced labor and victims' assistance.	5,000	5,000	
5.1.1.4	Support the expansion of the record system (RETA database) of reported cases of trafficking to include forced labor cases.	13,500	13,500	
C	**Baseline and Endline Study**	**113,937**	**93,937**	
4.1.1.1	Assess the availability of information to support the IAP's targeting and coverage and inform IAP's intervention baseline context.	70,000	50,000	Activity format and scope revision.
4.1.1.9	Carry out baseline and endline study.	43,937	43,937	
D	**Database Development**	**70,000**	**70,000**	
4.1.1.8	Develop and implement a monitoring system for IAP, including beneficiaries.	70,000	70,000	

Section	Description	Preliminary Budget USD	Revised Estimate after CMEP review	Justification for Change in Budget
E	**Ongoing Monitoring (Brazil and Peru)**	**226,661**	**226,661**	
	Case Studies	25,000	25,000	
	Consultants	15,056	15,056	
	Subcontracts	5,000	5,000	
	Seminars	121,605	121,605	
	M&E travel**	$60,000	$60,000	
F	**Project Evaluation**	**80,000**	**80,000**	
	Mid-term evaluation	30,000	30,000	
	Final Evaluation	50,000	50,000	
	TOTAL M&E BUDGET	**1,118,131**	**1,098,131**	

** Include costs for data verification missions.

The total CMEP and research activity budget is USD 1,098,191. Excluding part B (research activities), the total budget is USD 652,598 which is 11% of project's total cost. Part C accounts for the different studies necessary to gather the project's baseline and endline information at a cost of USD 93,937. The costs were mainly determined by the project's budgetary availability, and also by ILO's experience in conducting studies of similar size and unofficial quotes from consultants that had previously worked for ILO in Brazil. Part D includes the cost to develop the IAP's DBMS: USD 70,000 has been budgeted for the development, implementation, and maintenance of the database. This amount includes data collection, which will be conducted by the IAP team and is an instrumental part of their work methodology since the first part of the IAP implementation is based on data gathering and analysis. Part E consists of the costs for ongoing monitoring in Brazil and Peru, including data quality assurance costs. These costs have been disaggregated by consultants, subcontracts, seminars and travel. Part E also includes costs for training, data collection, data verification, partners' travel for M&E activities and M&E staff travel for oversight of data collection and data verification activities. Finally, Part F reflects the costs for the mid-term and final evaluations (at a cost of USD 40,000 each).

G. Timetable for Implementation of CMEP

The timetable for the implementation of CMEP activities is shown below in Table 7. The timetable includes the activity,[23] targeted dates, responsible person and supporting stakeholders.

[23] Other research activities that will be carried out in Brazil and Peru were not included in the CMEP timetable because they are customary programmatic activities. Nevertheless, USDOL and project staff will be responsible for reviewing any research activities conducted in the scope of the project.

Table 7: Timetable for Implementation of CMEP

Phase/Task	Year 1 – 2013				Year 2 - 2014				Year 3 - 2015				Year 4 - 2016				Responsible Person/ Unit	With Support/ Input From
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4		
Overall duration of project in Brazil and Peru																		
Overall project duration in Brazil																	ILO office in Brazil, SAP/FL	USDOL, project staff
Overall project duration in Peru																	ILO office in Peru, project director, SAP/FL	USDOL, project staff
1. PRODOC, CMEP, and TPR																		
Project document development																	Project director, SAP/FL, ILO office in Peru, USDOL	Project staff
CMEP workshop 1: problem analysis, results framework and indicators draft																	Project director, USDOL, O'Brien, M&E officer	Project staff
USDOL/ILO/O'Brien consultations on CMEP																	USDOL, O'Brien, Project Director, M&E Officer	SAP/FL, project staff, ILO EVAL unit
CMEP workshop 2: revision of CMEP draft - finalization of PMP, DCT, DQA, timetable and budget along with data collection instruments																	Project Director, USDOL, O'Brien, Project Director, Field Officer, M&E officer	SAP/FL, project staff, ILO EVAL unit
CMEP workshop 3: revision of CMEP final version (Dwight Ordoñez)																	USDOL, Ordoñez, Project Director, Field Officer, M&E officer	SAP/FL, project staff, ILO EVAL unit

Phase/Task	Year 1 – 2013				Year 2 - 2014				Year 3 - 2015				Year 4 - 2016				Responsible Person/ Unit	With Support/ Input From
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4		
Completion of CMEP document																	USDOL, Project Director, M&E Officer	SAP/FL, project staff, ILO EVAL unit
Internal quarterly review of CMEP																	USDOL, Project Director, Field Officer, M&E officer	SAP/FL, project staff, ILO EVAL unit
External Project and CMEP annual reviews																	USDOL, Project Director, Field Officer, M&E officer	SAP/FL, project staff, ILO EVAL unit
Submit Technical Progress Report																	USDOL, Project Director, Field Officer, M&E officer	SAP/FL, project staff, ILO EVAL unit
2. Baseline and Endline Studies																		
Baseline study first component: Institutional and Territorial Mapping																	Consultant, M&E officer, Field Officer, USDOL	IAP personnel
Baseline study second component: Direct Beneficiary Population Profile and Location																	Consultant, M&E officer, Field Officer, USDOL	IAP personnel
Baseline study third component: Institutional and Territorial Mapping Georeferenced Study																	Consultant, M&E officer, Field Officer, USDOL	IAP personnel
Baseline study fourth component: Territorial Mapping and Vulnerability Socio-Demographic Profile Matching																	Consultant, M&E officer, Field Officer, USDOL	IAP personnel
Presentation of baseline results to key stakeholders.																	Consultant, Project Director, M&E officer, Field Officer	IAP personnel

Phase/Task	Year 1 – 2013				Year 2 - 2014				Year 3 - 2015				Year 4 - 2016				Responsible Person/ Unit	With Support/ Input From
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4		
Endline study data collection and analysis																	Consultant, M&E officer, Field Officer	IAP personnel
Presentation of endline results to key stakeholders.																	Consultant, Project Director, M&E officer, Field Officer	IAP personnel
3. Direct Beneficiary Monitoring System (DBMS), Management Information System, and Training																		
Development of management information system (including DBMS)																	Consultant, M&E officer, Field officer, USDOL	IAP personnel
Development of reporting templates and procedures with project staff and key stakeholders																	M&E officer, M&E assistant	Project staff,
Provide training on M&E strategy, procedures, data collection tools, and DBMS to project staff																	M&E officer, Field officer, M&E assistant	Project staff
Provide training on M&E strategy and procedures to key stakeholders																	M&E officer, M&E assistant	Key stakeholders
Monitor beneficiary selection process																	Project director, Field officer, M&E officer	IAP team
On-going data collection for monitoring system (using tools and frequency specified in Annex 8)																	M&E officer	M&E assistant, project staff
Performance review of project with stakeholders																	Project Director, Field Officer, M&E Officer	Key stakeholders
Provide feed-back on monitoring information to project management																	M&E officer	Project director, field officer, Peru officer

Phase/Task	Year 1 – 2013				Year 2 - 2014				Year 3 - 2015				Year 4 - 2016				Responsible Person/ Unit	With Support/ Input From
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4		
Data Quality Assurance Missions																	M&E officer	Project director, field officer, Peru officer, and IAP personnel
4. Special Study – Hard to See, Harder to Count Adaptation																		
Workshop in state(s) to adapt indicators																	SAP/FL, consultant, M&E officer	Project director, Key stakeholders
Design survey and conduct pilot test																	Consultant	SAP/FL, M&E officer, USDOL (8 days allotted for DOL review)
Conduct survey																	Consultant	SAP/FL, M&E officer, USDOL
Workshop to present survey findings and validate																	Project director, field officer, M&E officer	Key stakeholders, USDOL (8 days allotted for DOL review)
Present and disseminate survey results																	Project director, field officer, M&E Officer, SAP/FL	Key stakeholders
Translate/disseminate research findings and documentation of project																	Project director, field officer, M&E officer	Project staff
5. Midterm and Final Evaluation																		
Conduct mid-term evaluation																	Consultant	USDOL, project director, M&E officer, SAP/FL
Conduct final evaluation																	Consultant	USDOL, project director, M&E officer, SAP/FL

H. Project Results Communication Strategy

The project's results communication strategy will aim to disseminate project results, products, publications, good practices, lessons learned and other important information to primary and secondary stakeholders who were identified in the stakeholder analysis, which appears in Annex 1b. Interim and final project results will be presented to project partners and the public through appropriate dissemination mechanisms that might consist of meetings, public relations events and ILO websites (Brasilia, Peru and Geneva) as well as the SAP/FL newsletter and mailing list for publications and studies.

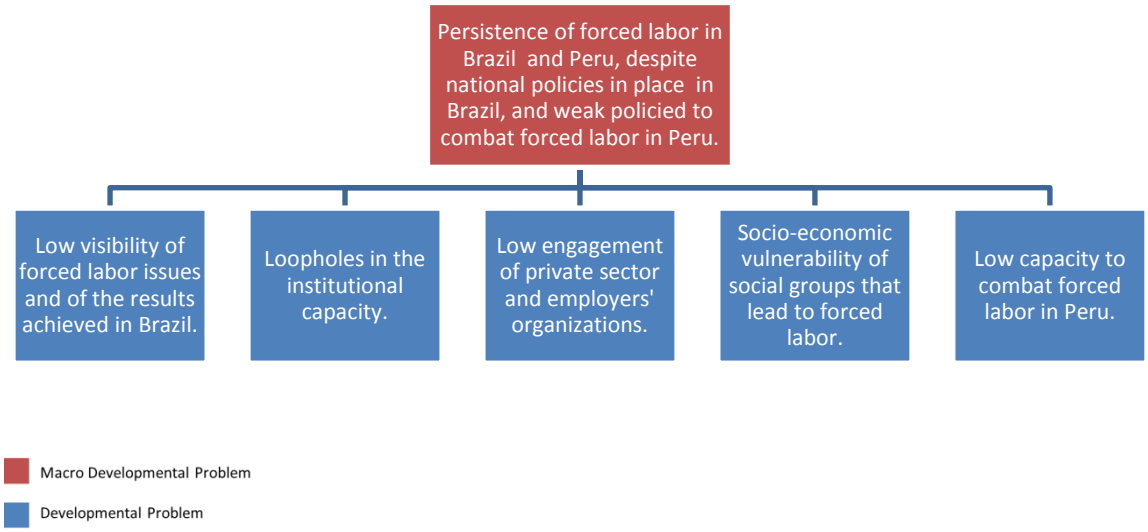
I. Plan for Annual Review and Revisions to the CMEP

The CMEP will be reviewed annually to ensure that it fulfills its role as a management tool that contributes to project decision-making. Changes in the project will be reflected in the CMEP, such as updated indicators. Reviews of the CMEP will also be triggered by project revisions to ensure that the M&E system remains relevant to project priorities, activities and management needs. All revisions of the CMEP document will need to be coordinated with and approved by USDOL.

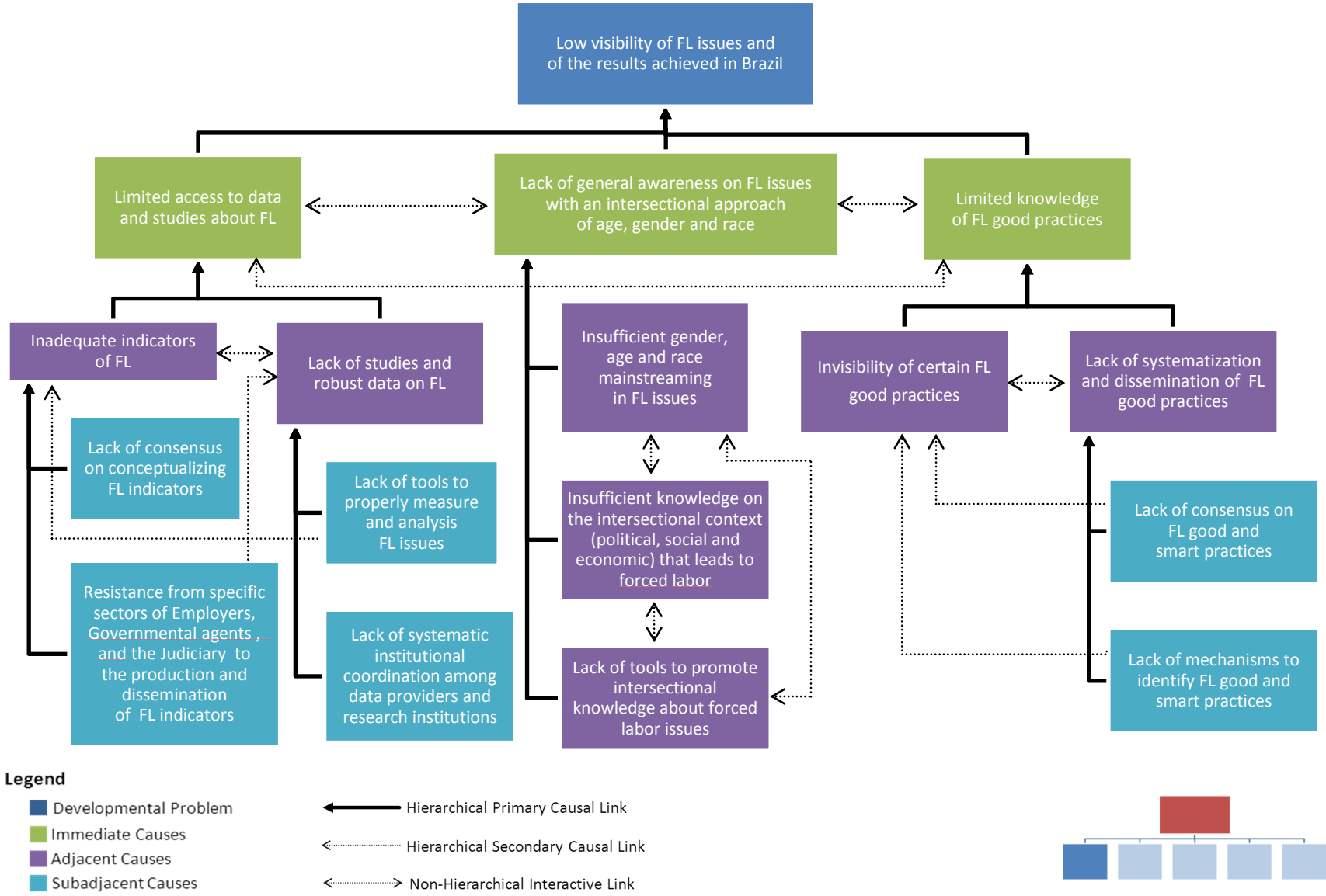
ANNEX 1: Problem Trees Visual

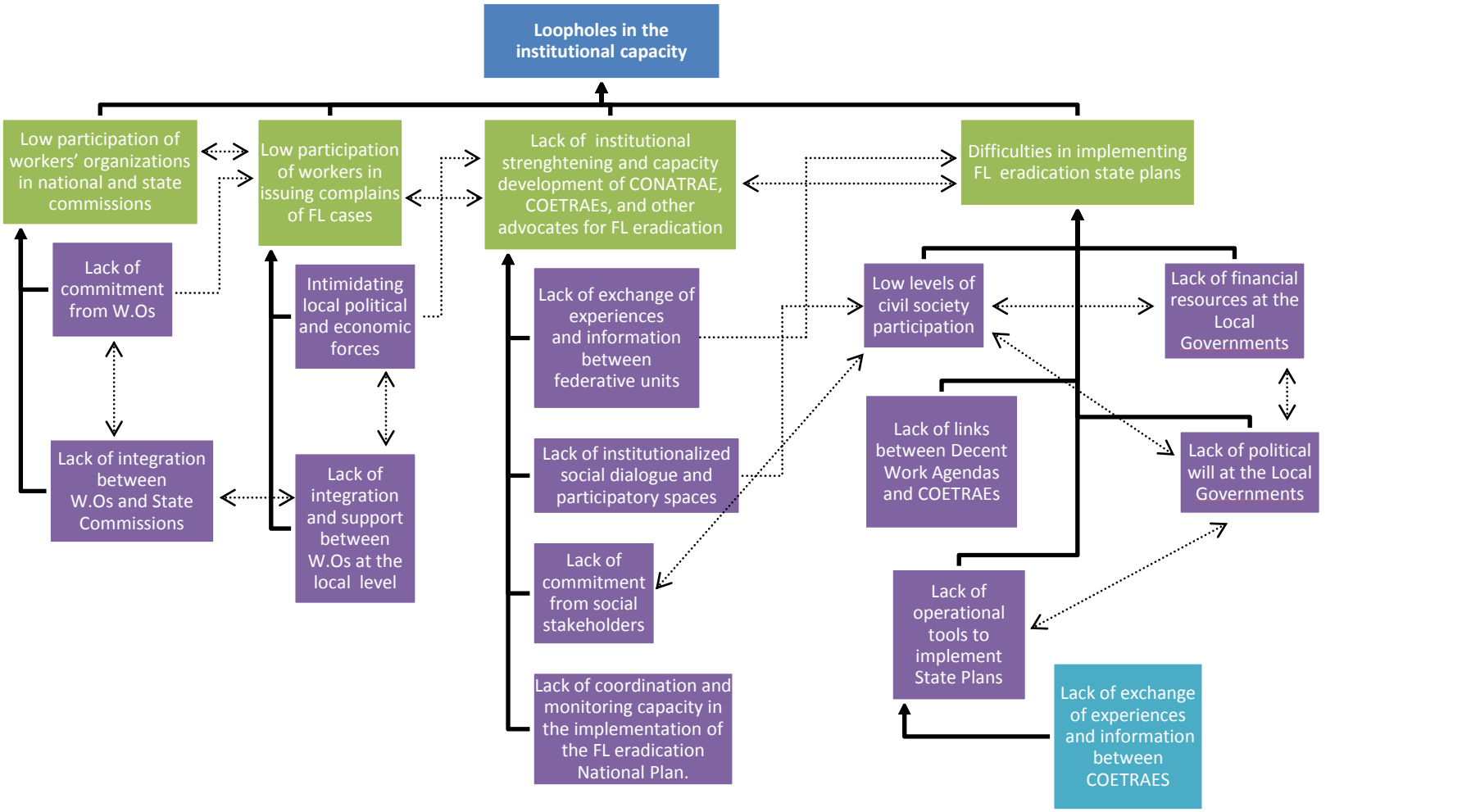
Consolidating and Disseminating Efforts to Combat Forced Labor in Brazil and Peru

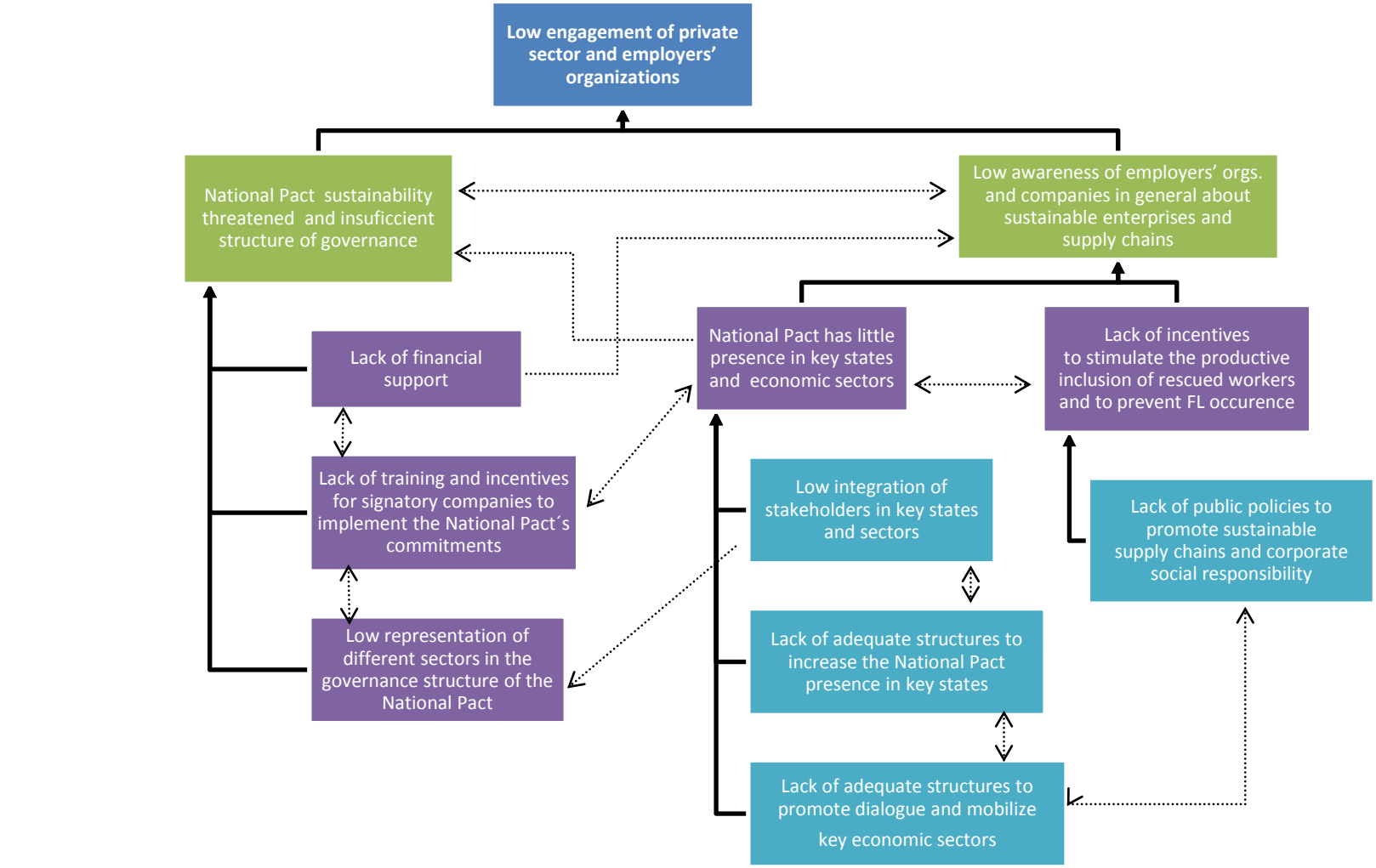
STRUCTURAL PROBLEM TREE

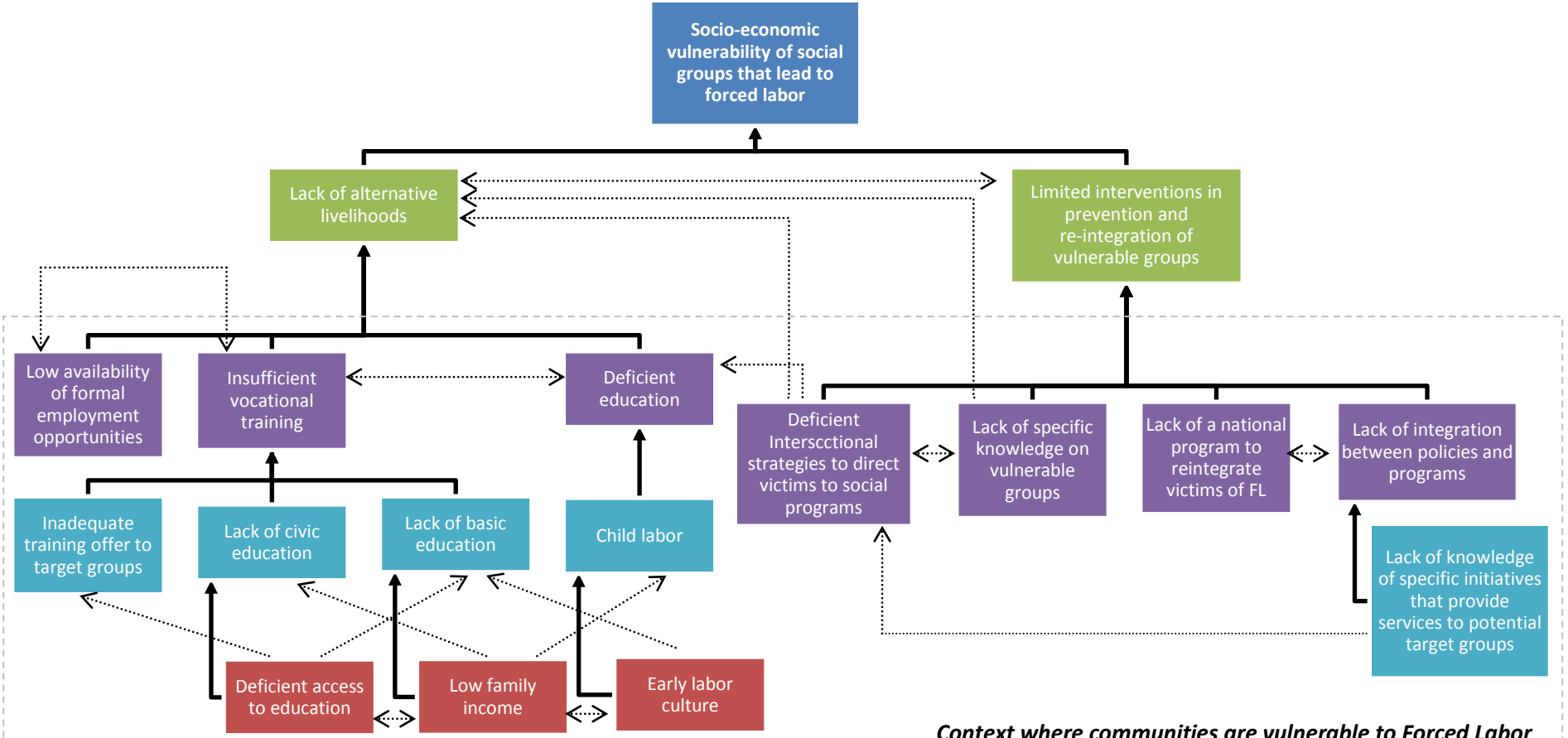


DETAILED PROBLEM TREES WITH IMMEDIATE, ADJACENT, AND SUBADJACENT CAUSES OF DEVELOPMENTAL PROBLEMS




Loopholes in the institutional capacity
Low participation of workers' organizations in national and state commissions
Low participation of workers in issuing complains of FL cases
Lack of institutional strenghtening and capacity development of CONATRAE, COETRAEs, and other advocates for FL eradication
Difficulties in implementing FL eradication state plans
Lack of commitment from W.Os
Intimidating local political and economic forces
Lack of exchange of experiences and information between federative units
Low levels of civil society participation
Lack of financial resources at the Local Governments
Lack of integration between W.Os and State Commissions
Lack of integration and support between W.Os at the local level
Lack of institutionalized social dialogue and participatory spaces
Lack of links between Decent Work Agendas and COETRAEs
Lack of political will at the Local Governments
Lack of commitment from social stakeholders
Lack of operational tools to implement State Plans
Lack of coordination and monitoring capacity in the implementation of the FL eradication National Plan.
Lack of exchange of experiences and information between COETRAES
Legend
Developmental Problem
Immediate Causes
Adjacent Causes
Subadjacent Causes
Hierarchical Primary Causal Link
Hierarchical Secondary Causal Link
Non-Hierarchical Interactive Link

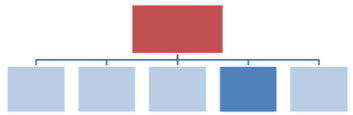

Low engagement of private sector and employers' organizations
National Pact sustainability threatened and insuficcient structure of governance
Low awareness of employers' orgs. and companies in general about sustainable enterprises and supply chains
Lack of financial support
National Pact has little presence in key states and economic sectors
Lack of incentives to stimulate the productive inclusion of rescued workers and to prevent FL occurence
Lack of training and incentives for signatory companies to implement the National Pact´s commitments
Low integration of stakeholders in key states and sectors
Lack of public policies to promote sustainable supply chains and corporate social responsibility
Low representation of different sectors in the governance structure of the National Pact
Lack of adequate structures to increase the National Pact presence in key states
Lack of adequate structures to promote dialogue and mobilize key economic sectors
Legend
Developmental Problem
Immediate Causes
Adjacent Causes
Subadjacent Causes
Hierarchical Primary Causal Link
Hierarchical Secondary Causal Link
Non-Hierarchical Interactive Link

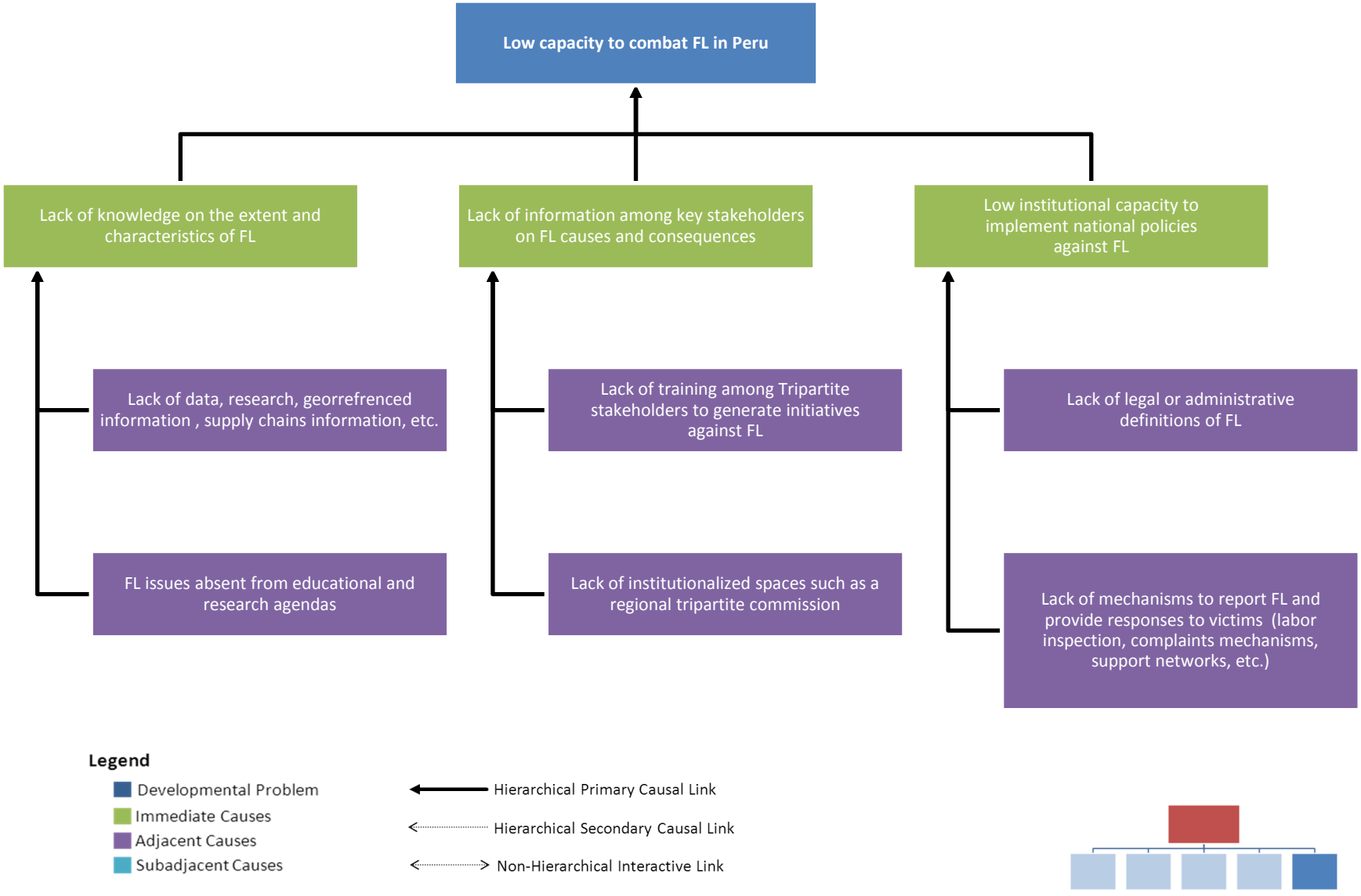


Legend

- Developmental Problem
- Immediate Causes
- Adjacent Causes
- Subadjacent Causes

- Hierarchical Primary Causal Link
- Hierarchical Secondary Causal Link
- Non-Hierarchical Interactive Link




Low capacity to combat FL in Peru
Lack of knowledge on the extent and characteristics of FL
Lack of information among key stakeholders on FL causes and consequences
Low institutional capacity to implement national policies against FL
Lack of data, research, georrefrenced information , supply chains information, etc.
Lack of training among Tripartite stakeholders to generate initiatives against FL
Lack of legal or administrative definitions of FL
FL issues absent from educational and research agendas
Lack of institutionalized spaces such as a regional tripartite commission
Lack of mechanisms to report FL and provide responses to victims (labor inspection, complaints mechanisms, support networks, etc.)
Legend
Developmental Problem
Immediate Causes
Adjacent Causes
Subadjacent Causes
Hierarchical Primary Causal Link
Hierarchical Secondary Causal Link
Non-Hierarchical Interactive Link

ANNEX 2: Results Framework with Outputs

Critical Assumptions: A) Stakeholders in general are willing to promote social dialogue. B) Private sector and employers' organizations are willing to combat forced labor. C) Brazilian and Peruvian governments are willing to promote South-South Cooperation activities. D) Economic environment remains sufficiently stable. E) Changes in the political landscape have limited effects on institutional relations. F) Legal and normative aspects of forced labor issues remain supportive of project's activities.

Project Objective: Contribute to the reduction of forced labor in Brazil and Peru.

IO 1: Knowledge-base and awareness on forced labor improved among Brazilian key stakeholders and target groups.	IO 2: Increased social dialogue and institutional capacity for public policy implementation at the national and state levels in Brazil.	IO 3: Increased engagement of the private sector and employers' organizations to combat forced labor in Brazil.	IO 4: IAP livelihood intervention strengthened and better positioned to reduce socio-economic vulnerability of groups susceptible to forced labor in project's intervention area.	IO 5: Improved policies to combat forced labor in Peru.
Supporting Objectives Results • **SO 1.1.** Data collection mechanisms in Brazil improved. **Output 1.1.1.** Pilot-Survey on forced labor available for selected state(s). **Output 1.1.2.** Mapping of information gaps among databases addressing forced labor-related issues available. **Output 1.1.3.** Brazilian good practices on combating forced labor are identified, systematized and disseminated. • **SO 1.2.** Awareness on forced labor issues (with age, gender and race perspective) increased among target groups. **Output 1.2.1.** Communication strategy implemented.	***Supporting Objectives Results*** • **SO 2.1.** Social dialogue commissions strengthened at national and state levels. **Output 2.1.1.** CONATRAE's technical capacity to combat forced labor strengthened. **Output 2.1.2.** Framework (protocol) for inter-institutional coordination among relevant ministries and national commission developed and signed. **Output 2.1.3.** Network to exchange information on forced labor issues established among relevant states (COETRAEs). • **SO 2.2.** Participation of workers' organizations in combating forced labor increased. **Output 2.2.1.** Complaint system on forced labor managed by CONTAG available **Output 2.2.2.** Trade union members' capacity to combat forced labor increased. **Output 2.2.3.** Information material on forced labor for rural workers disseminated.	***Supporting Objectives Results*** • **SO 3.1.** Sustainability of the National Pact to Eradicate Forced Labor improved. **Output 3.1.1.** National Pact Institute developed, registered, and operating. • **SO 3.2.** Employers' organizations and companies strengthened to combat forced labor. **Output 3.2.1.** Information on how companies are addressing forced labor in their supply chains available. **Output 3.2.2.** Employers' organizations knowledge on forced labor improved.	***Supporting Objectives Results*** • **SO 4.1.** IAP intervention replicated and tested in selected states. **Output 4.1.1.** IAP's communications strategy, monitoring system, and pedagogical plan developed and tested. **Output 4.1.2.** Integrated Action Movement implemented in selected states.	***Supporting Objectives Results*** • **SO 5.1.** Knowledge-base on forced labor increased and disseminated. **Output 5.1.1.** Studies produced and database on forced labor available. **Output 5.1.2.** Communication strategy developed and implemented. • **SO 5.2.** Institutional capacity to carry out actions to combat forced labor in Peru improved. **Output 5.2.1** National and Regional Commissions for the Fight Against Forced Labor strengthened. **Output 5.2.2** Mechanisms on law enforcement, prevention and victims' assistance improved. • **SO 5.3.** Exchange mechanism developed between Peruvian and Brazilian governments (CONATRAE and CNLCTF). **Output 5.3.1.** Brazilian good practices to combat forced labor adapted by Peru through horizontal cooperation mechanisms.

ANNEX 3: Activities Mapping to Project Outputs and Intermediate Objectives

Intermediate and Supporting Objectives	Key Activities (table to include all major activities)
IO 1: Knowledge-base and awareness on forced labor improved among Brazilian key stakeholders and target groups.	
SO 1.1. Data collection mechanisms in Brazil improved.	
Output 1.1.1. Pilot-Survey on forced labor available for selected state(s).	1.1.1.1. Conduct preparatory workshop in selected state(s) to adapt indicators on forced labor (and forced child labor) for the purpose of the survey and establish its scope, work plan and budget. 1.1.1.2. Design the survey, using ILO forced labor methodology, and conduct pilot test in selected state (s). 1.1.1.3. Undertake survey implementation and analysis. 1.1.1.4. Undertake workshop for presentation and validation of the results of the survey to sub-commission. 1.1.1.5. Finalize, publish and disseminate final report results among key stakeholders and media.
Output 1.1.2. Mapping on information gaps among existing databases addressing forced labor-related issues available.	1.1.2.1. Promote the creation of a tripartite sub-commission within CONATRAE to promote inter-institutional dialogue on national forced labor indicators and systematic coordination of data sources. 1.1.2.2. Map and analyze data collection mechanisms in Brazil regarding forced labor. 1.1.2.3. Present findings and recommendations to the sub-commission for improvement of data collection mechanisms. 1.1.2.4. Promote with IBGE the inclusion of forced labor indicators in national surveys, such as PNAD and national census. 1.1.2.5. Conduct periodic meetings within the tripartite sub-commission to discuss and define national indicators on forced labor. 1.1.2.6. Conduct a technical workshop to validate and disseminate the list of national indicators developed.
Output 1.1.3. Brazilian good practices on combating forced labor are identified, systematized and disseminated.	1.1.3.1. Map and collect good practices on the combat of forced labor (by type of intervention). 1.1.3.2. Conduct workshop to discuss and agree on the good practices in combating forced labor. 1.1.3.3. Produce a publication on good practices to combat forced labor in Brazil. 1.1.3.4. Translate the systematized good practices on combating forced labor in Brazil into English and Spanish. 1.1.3.5. Disseminate the good practices.

SO 1.2. Awareness on forced labor issues (with age, gender and race perspective) increased among target groups.	
Output 1.2.1. Communication strategy implemented.	1.2.1.1. Conduct an assessment study to determine the level of knowledge on forced labor among key stakeholders and beneficiaries prior to implementing the communication strategy and awareness-raising campaign. 1.2.1.2. Develop and implement a gender, race-and age sensitive communication strategy. 1.2.1.3. Produce campaign materials on the prevention and combating of forced labor. 1.2.1.4. Train key opinion leaders, media professionals and tripartite stakeholders on the use of communication as a tool to prevent and combat forced labor. 1.2.1.5. Create an institutional mapping, an orientation booklet for rescued workers informing them of their rights and how to access social and livelihood programs, and an informative folder for CRAS/CREAS. 1.2.1.6. Promote the dissemination of the Escravo, Nem Pensar Prevention Program in selected source municipalities. 1.2.1.7. Conduct an assessment study to determine the level of knowledge on forced labor among key stakeholders and beneficiaries after communication strategy implementation and awareness-raising campaigns.
IO 2: Increased social dialogue and institutional capacity for public policy implementation at the national and state levels in Brazil.	
SO 2.1. Social dialogue commissions strengthened at national and state levels.	
Output 2.1.1. CONATRAE's technical capacity to combat forced labor strengthened.	2.1.1.1. Support the National Commission for the Eradication of Forced Labor on improving the Plan's implementation, monitoring and evaluation mechanisms. 2.1.1.2. Organize an international multi-stakeholder discussion in US, in line with ILO Protocol on Conv. 29, of high impact federal, state and local strategies to address worker exploitation, with a particular focus on forced labor affecting vulnerable populations 2.1.1.3. Provide technical assistance to workers' organizations to strengthen their participation in CONATRAE. 2.1.1.4. Promote the increase of workers' organizations representation within CONATRAE.
Output 2.1.2. Framework (protocol) for inter-institutional coordination among relevant ministries and national commission developed and signed.	2.1.2.1. Present to key CONATRAE members, including the Ministry of Social Development and the Ministry of Labor and Employment, proposals for the improved collaboration between programs, including through the development of protocols, to increase effectiveness in the incorporation of rescued workers.
Output 2.1.3. Network to exchange information on forced labor issues established among relevant states (COETRAEs).	2.1.3.1. Support the replication of the monitoring system for the National Plan (CONATRAE) to selected state plans (COETRAEs). 2.1.3.2. Facilitate the exchange of good practices and information between selected states within the framework of the State Commissions to Combat Forced Labor (COETRAEs). 2.1.3.3. Promote coordination between selected COETRAEs and Decent Work Agendas to strengthen public policies on forced labor at the state-level.

SO 2.2. Participation of workers' organizations in combating forced labor increased.	
Output 2.2.1. Complaint system on forced labor managed by CONTAG available.	2.2.1.1. Develop and test online complaint system on forced labor. 2.2.1.2. Train CONTAG's personnel in the complaint system operation and in the analysis of collected data. 2.2.1.3. Promote the dissemination of the use of the complaint system among rural workers' organizations. 2.2.1.4. Establish partnership with the Ministry of Labor and Employment to generate official investigations based on registered complaints.
Output 2.2.2. Trade union members' capacity to combat forced labor increased.	2.2.2.1. Map rural workers' organizations with potential to leverage the combat of forced labors. 2.2.2.2. Train workers representatives using the ITUC training manual on combating forced labor for workers' organizations.
Output 2.2.3. Information material on forced labor for rural workers disseminated.	2.2.3.1. Develop gender, race, ethnicity, and age oriented information materials to increase rural workers awareness on forced labor. 2.2.3.2. Establish partnerships with rural workers' organizations for the dissemination of the forced labor awareness raising campaign. 2.2.3.3. Develop and carry on a dissemination strategy with rural workers' organizations to distribute awareness materials developed.
IO 3: Increased engagement of the private sector and employers' organizations to combat forced labor in Brazil.	
SO 3.1. Sustainability of the National Pact to Eradicate Forced Labor improved.	
Output 3.1.1. National Pact Institute developed, registered, and operating.	3.1.1.1. Support the design and execution of a financial sustainability business plan. 3.1.1.2. Support the reformulation of the knowledge management tools (specifically the website and the monitoring system) of the National Pact. 3.1.1.3. Launch the new structure of the National Pact. 3.1.1.4. Analyze the results of the new monitoring system. 3.1.1.5. Support the undertaking of an evaluation of the Pact's new management and financial structure after its first year of existence.
SO 3.2. Employers' organizations and companies strengthened to combat forced labor.	
Output 3.2.1. Information on how companies are addressing forced labor in their supply chains available.	3.2.1.1. Promote the development of sector-specific supply chain studies within the Pact. 3.2.1.2. Conduct good practices study on how companies are addressing forced labor in their supply chains. 3.2.1.3. Present and disseminate supply chain research (also conducted by other organizations) and good practices studies to relevant companies**.**

Output 3.2.2. Employers' organizations knowledge on forced labor improved.	3.2.2.1. Prepare in cooperation with employers' organizations, a preparatory document for seminar on combating forced labor. 3.2.2.2. Promote a seminar with employers' organizations and the "S" system on combating forced labor. 3.2.2.3. Document the discussions during the seminar and create tool for replication and training of employers.
IO 4: IAP livelihood intervention strengthened and better positioned to reduce socio-economic vulnerability of groups susceptible to forced labor in project's intervention area.	
SO 4.1. IAP intervention replicated and tested in selected states.	
Output 4.1.1 IAP's communications strategy, monitoring system, and pedagogical plan developed and tested.	4.1.1.1. Assess the availability of information to support the IAP's targeting and coverage and inform IAP's intervention baseline context. 4.1.1.2. Support improvement of IAP's tools and mechanisms related to prioritizing communities, identifying workers, and assessing their conditions (educational, social, economic, professional and personal/family). 4.1.1.3. Support the preparation of a pedagogical methodology plan specifically designed for rescued and vulnerable workers. 4.1.1.4. Support the inclusion of the population selected from the baseline study (rescued victims, at-risk population and households) in social programs. 4.1.1.5. Promote the implementation of the pedagogical methodology plan. 4.1.1.6. Support the strengthening of projects and initiatives aimed at economic inclusion of target population. 4.1.1.7. Develop and implement a communication strategy to raise awareness, train key actors and disseminate the IAP. 4.1.1.8. Develop and implement a monitoring system for IAP, including beneficiaries. 4.1.1.9. Carry out baseline and endline studies.
Output 4.1.2. Integrated Action Movement implemented in selected states.	4.1.2.1. Create, at the national level, a sustainable coordination team in charge of conducting the replication of the IAP. 4.1.2.2. Select state(s) that will replicate the IAP according to criteria based on prioritization and viability. 4.1.2.3. Conduct a diagnosis at the beginning of replication in selected state(s) to provide input on the implementation of IAP. 4.1.2.4. Provide support to selected state(s) in the replication of IAP as a pilot experience. 4.1.2.5. Conduct a study during the last year of the project to measure the replicability effectiveness of IAP in selected state(s).

IO 5: Improved policies to combat forced labor in Peru.	
SO 5.1. Knowledge-base on forced labor increased and disseminated.	
Output 5.1.1. Studies produced and database on forced labor available.	5.1.1.1. Develop and update studies that characterize the victims, vulnerabilities, and supply chains (prioritizing illegal timber logging, informal mining, and domestic work, which are sectors highlighted in the National Plan, and possibly including other sectors or economic activities identified). 5.1.1.2. Disseminate studies among key stakeholders. 5.1.1.3. Identify, evaluate, and propose recommendations concerning the national data collection mechanisms linked to forced labor and victims' assistance. 5.1.1.4. Support the expansion of the record system (RETA database) of reported cases of trafficking to include forced labor cases.
Output 5.1.2. Communication strategy developed and implemented.	5.1.2.1. Develop a communication strategy and awareness raising material. 5.1.2.2. Train key stakeholders including officials of public institutions and the national and regional commissions.
SO 5.2. Institutional capacity to carry out actions to combat forced labor in Peru improved.	
Output 5.2.1 National and Regional Commissions for the Fight Against Forced Labor strengthened.	5.2.1.1. Promote the participation of employers' organizations for the prevention and fight against forced labor. 5.2.1.2. Promote the participation of workers' organizations for the prevention and fight against forced labor. 5.2.1.3. Promote the creation and strengthening of regional tripartite commissions for the fight against forced labor in vulnerable areas. 5.2.1.4. Provide technical assistance to the National Commission for the Fight against Forced Labor.
Output 5.2.2 Mechanisms on law enforcement, prevention and victims' assistance improved.	5.2.2.1. Support the revision of national legislation to combat forced labor. 5.2.2.2. Train justice system actors (including judges, prosecutors, lawyers and national police). 5.2.2.3. Train the Special Labor Inspection Group, including in cooperation with Brazil. 5.2.2.4. Provide technical assistance for the implementation of the inter-agency protocol to assist victims of forced labor, including in cooperation with Brazil.

SO 5.3. Exchange mechanism developed between Peruvian and Brazilian governments (CONATRAE and CNLCTF).	
Output 5.3.1. Brazilian good practices to combat forced labor adapted by Peru through horizontal cooperation mechanisms.	5.3.1.1. Undertake prospective missions between Brazil and Peru in order to undertake a needs assessment and identify practices to be exchanged. 5.3.1.2. Support the implementation of the cooperation agenda. 5.3.1.3. Document experiences developed in the framework of cooperation between Brazil and Peru.

ANNEX 4: Project Forced Labor Definitions

Forced Labor Definition under ILO Convention

The eradication of forced labor is one of the four fundamental rights listed in the Declaration of Fundamental Principles and Rights at Work, adopted by the ILO in 1998, and therefore a fundamental part of the National Agenda for Decent Work. ILO's actions on this issue are guided by Convention no. 29 concerning Forced or Compulsory Labor (1930) and Convention no. 105 concerning the Abolition of Forced Labor (1957).[24]

Convention no. 29 defines forced labor as "all work or service that is exacted from any person under the menace of any penalty and for which the said person has not offered himself voluntarily." In addition, Convention no. 105 reports that forced labor can never be used for economic development or as an instrument of political education, discrimination, and discipline through work or as punishment for participating in a strike. Both conventions were ratified by Brazil and Peru.

The definition of forced labor in Convention no. 29 is composed of two elements: the threat of a penalty (or punishment) and the lack of free consent. These two elements typify the various situations of forced labor covered by the Convention. This conception has not sought to refer to specific forms of forced labor in the various regions of the world, but encompasses all of the possible forms or manifestation of the problem, whether colonial or contemporary slavery, such as trafficking in persons and urban forced labor. It is up to each country, facing specific situations of forced labor, to adopt a particular law that specifies the nature of the practice, so that it can be criminally sanctioned.

Brazil's Definition of Forced Labor

In Brazil, forced labor is defined under article 149 of the Penal Code, which states that:

> *"Reducing someone to a condition analogous to that of a slave, namely: subjecting a person to forced labor or to arduous working days, or subjecting such a person to degrading working conditions or restricting, in any manner whatsoever, his mobility by reason of a debt contracted in respect of the employer or a representative of that employer.*
>
> *Penalty – two (2) to eight (8) years of imprisonment, together with a fine, on top of any sentence handed down for violence.*
>
> *Any persons committing the following offences shall receive the same penalties:*
> *I – retaining workers at the workplace by preventing them from using any means of transportation.*
> *II – retaining workers at the workplace by confiscating their personal papers or personal property, or by maintaining manifest surveillance.*
>
> *The prison sentence is increased by half if the crime has been committed:*
> *I – against children or adolescents.*

[24] Convention no. 29 and Convention no. 105 have been ratified respectively by 177 and 174 ILO Member States.

II – on the basis of race, color, ethnicity, religion or origin."

For activities implemented in Brazil, including the livelihood component, the project will utilize the national definition of forced labor. For the purposes of the project, a forced labor victim is rescued when he or she is included in the "rescued workers database", which is managed by the Labor Inspection Secretariat of the Ministry of Labor and Employment.

The rescued and vulnerable workers identified by the Ministry of Labor and Employment's Mobile Inspection Units and SRTE's will constitute the operational definition of forced labor victims in Brazil, and thus will be characterized as the project's direct beneficiaries that will be monitored by the DBMS. Specific criteria will be developed for selecting direct beneficiaries for the livelihood program. The criteria will incorporate the national definition of forced labor and include the following:

- Removal from forced labor. The worker is a victim of forced labor or has been a victim of forced labor and is in conditions that make him or her vulnerable to return to forced labor. Operationally speaking workers removed from forced labor are those officially identified as so by the Ministry of Labor and Employment Labor Inspection Unit.

- Vulnerability condition. A vulnerability condition can be determined by one or more of the following situations: (a) lack or difficulty in finding formal employment; (b) functional illiteracy; (c) lack of professional training; (d) poverty situation; and (e) lack or weakness in family ties. Operationally speaking workers in vulnerable conditions are those with family or social connections that have the same socio demographic profile than forced labor rescued workers.

Peru's Definition of Forced Labor

In Peru, the Second National Plan for the Fight against Forced Labor 2013-2017 (approved by Supreme Decree in June 2013) incorporates a definition of forced labor following the definitions under Conventions N° 29 and N°105. According to the Plan, forced labor is considered a situation in which there is an infringement in freedom of work, which supposes an illegal restriction in the capacity of the person to decide whether to work, or not, for whom to work and under which conditions to do so. In addition, Peruvian criminal legislation does not regulate a single offense for the crime of forced labor (three different articles in the Penal Code address forms of forced labor - 153, 153-A and 168). For activities implemented in Peru, the project will utilize the definition of forced labor from the Second National Plan.

Movimento Ação Integrada (Integrated Action Movement - IAM) Definition

The Integrated Action Movement (IAM) was created as a spillover initiative of the Integrated Action Project (IAP) that structures the project's livelihood activities. The IAM goal is to promote social, educational, and economic improvements in former forced laborers and forced labor vulnerable population's lives through the replication and adaptation of the IAP initiative in states and municipalities that wish to join this movement.

To promote the IAP replication and adaptation the IAM's National Coordination was established with representatives from the organizations that signed the Technical Cooperation Agreement that established this movement in May 2014, namely: the National Labor Fiscal Auditors Union (SINAIT), the National Council of Justice (CNJ), ILO-Brazil and the Labor and Employment Regional Superintendence (SRTE/MTE) from the Ministry of Labor and Employment.

The IAM joint work plan is organized around five components:

- Strengthening and consolidation of the IAP experience in Mato Grosso;
- Promotion of awareness and training to interested partners in other states and municipalities;
- Promotion of Inter-institutional coordination between public, private and civil society in organizations in different contexts linked with socio productive inclusion;
- Increasing the movement sustainability, and;
- Dissemination of good practices.

ANNEX 5: Project Performance Monitoring Plan (PMP)

Indicator	Indicator Definition* and Unit of Measurement	Data Source	Reporting Frequency	Responsible Person	Data Analysis/Use
Project Objective: Efforts to eradicate forced labor consolidated in Brazil and Peru.					
PO1. Develop guidelines and strategies for a pilot-project for assistance to victims of forced labor and prevention of re-incidence (C1).	**Definition:** This is a qualitative indicator describing the process of strengthening and replicating an on-going innovative local initiative, namely Integrated Action Plan (IAP), that provides multi-disciplinary and integrated services for workers rescued from forced labor, and population cohorts that are likely to be trapped into forced labor (forced labor vulnerable population). The IAP aims at reducing the beneficiary population vulnerability and therefore reduce the rate of re(incidence) of forced labor in the state of Mato Grosso. **Unit of measurement:** Narrative based on three sub-sequential stages defined to facilitate the progress monitoring of this outcome achievement: launching of the replication awareness strategy (Movimento Ação Integrada); pilot-strategy strengthening and systematization (development of guidelines and strategies); and adaptation and replication in other state(s).	Local government's official documents evidencing the awareness strategy replication and replication of the IAP initiative.	Every six months according to TPR	IAP's Managerial Team, Project's M&E Officer, and Field Officer in Brazil	Determine whether the project is successful in promoting capacity development and institutional strengthening for local governments involved in combating forced labor, and support the identification of lessons learned and good practices that can leverage the IAP adaptation and replication in other settings.
PO2. Roadmap for the implementation of the inter-agency protocol on forced labor endorsed by the government of Peru (C1).	**Definition:** This is a qualitative indicator describing the process of establishing and endorsing an operational roadmap for the implementation of the inter-agency multi-disciplinary protocol designed by the Peruvian government that aims to support the promotion of the forced labor agenda, the prevention of forced labor incidence, the detention of forced labor exploitation perpetrators, and the integral attention and recovery of forced labor victims. **Unit of measurement:** Narrative based on three sub-sequential stages defined to facilitate the monitoring of the progress of this outcome achievement: roadmap drafting; roadmap negotiation; roadmap endorsement.	Official document from the Peruvian government evidencing the endorsement of the inter-agency protocol operational roadmap.	Every six months according to TPR	Peruvian government stakeholders, Project's M&E Officer, and Field Officer in Peru	Determine whether the project is successful in promoting capacity development and institutional strengthening for the Peruvian government's agencies that are involved in combating forced labor.

Indicator	Indicator Definition* and Unit of Measurement	Data Source	Reporting Frequency	Responsible Person	Data Analysis/Use
IO 1: Knowledge-base and awareness on forced labor improved among Brazilian key stakeholders and target groups.					
SO 1.1. Data collection mechanisms in Brazil improved.					
OTC 1. Improved indicators on forced labor in Brazil validated by CONATRAE (C1).	**Definition:** This is a qualitative indicator describing the process of validating a set of improved forced labors indicators designed to support the monitoring and evaluation of the National Plan for the Eradication of Forced Labor, that are developed with the Project's support. **Unit of measurement:** Narrative based on three sub-sequential stages defined to facilitate the monitoring of the progress of this outcome achievement: national indicators drafting; national indicators discussion; national indicators validation.	CONATRAE's official meetings minutes.	Every six months according to TPR	CONATRAE's Coordination, and Project's M&E Officer	Determine whether the project is successful in promoting the institutional strengthening of CONATRAE through the development of national monitoring systems.
Output 1.1.1. Pilot-Survey on forced labor available for selected state(s).					
OTP 1. Report of Pilot-Survey available (C1).	**Definition:** This is a qualitative indicator describing the process of adapting and replicating in selected state(s) in Brazil the "Hard to See, Harder to Count" methodology, developed by ILO, to produce robust estimates of the incidence of forced labor in a given area. **Unit of measurement:** Narrative based on five sub-sequential stages defined to facilitate the progress monitoring of this output achievement: Raising awareness about the importance of this Pilot-Survey; Adapting core indicators; Defining sampling and data collection strategies; Conducting the survey, and; Production and dissemination of the survey final report.	CONATRAE's official meetings minutes, and project's administrative records (selection and monitoring of consultants' contracts).	Every six months according to TPR	CONATRAE's Coordination, and Project's M&E Officer	Determine whether the project is successful in supporting the production of forced labor prevalence estimates in selected Brazilian state(s). Generate knowledge to inform policymaking and identifying lessons learned and good practices.

Indicator	Indicator Definition* and Unit of Measurement	Data Source	Reporting Frequency	Responsible Person	Data Analysis/Use
Output 1.1.2. Mapping on information gaps among existing databases addressing forced labor-related issues available.					
OTP 2. Recommendations formulated in response to findings from mapping exercise are disseminated to CONATRAE.	**Definition:** This is a qualitative indicator describing the process of identifying, analyzing, systematizing, evaluating, and proposing improvements about the availability and relevance of forced labor data in currently available databases. **Unit of measurement:** Narrative based on three sub-sequential stages defined to monitor this output achievement progress: Identification and analysis of current databases; systematization and evaluation of identified databases, and; proposal on improvements available and disseminated.	CONATRAE's official meetings minutes, and project's administrative records (selection and monitoring of consultants' contracts).	Every six months according to TPR	CONATRAE's Coordination, and Project's M&E Officer	Determine whether the project is successful in supporting the production of data, consequently relevant information, and therefore knowledge to inform the policymaking process, including monitoring and evaluation activities.
Output 1.1.3. Brazilian good practices on combating forced labor are identified, systematized and disseminated.					
OTP 3. Report on good practices to combat forced labor available and disseminated to key stakeholders.	**Definition:** This is a qualitative indicator describing the process of identifying, analyzing, and disseminating good practices on combating forced labor systematized as case studies. **Unit of measurement:** Narrative based on three sub-sequential stages defined to monitor this output achievement progress: good practices identification; systematizing and analyzing good practices, and; elaborating and disseminating good practices report.	CONATRAE, COETRAE and INPACT's official meetings minutes, IAP's official documents and administrative records, and project's administrative records (selection and monitoring of consultants' contracts).	Every six months according to TPR	CONATRAE and COETRAE's Coordination, IAP's Managerial Team, INPACT Institute's Coordination, Project's M&E Officer, and Field Officer in Brazil	Determine whether the project is successful in stimulating the emergence or identifying good practices on combating forced labor that can be replicated in other settings.

Indicator	Indicator Definition* and Unit of Measurement	Data Source	Reporting Frequency	Responsible Person	Data Analysis/Use
SO 1.2. Awareness on forced labor issues (with age, gender and race perspective) increased among target groups.					
OTC 2. Percentage of target groups individuals who perceive an increase in their level of awareness regarding forced labor issues	**Definition:** Percentage among interviewed individuals and stakeholders that perceive their awareness about forced labor issues increased after being exposed to the forced labor awareness campaign as measure by a three-item likert scale questionnaire[25] as per pretest-posttest qualitative assessment. **Unit of measurement:** Numerator: Number of interviewed individuals with increased awareness on forced labor issues. Denominator: Number of total interviewed individuals.	Research conducted by Project's implementing partner Repórter Brasil.	Pretest reporting in the first semester of 2015, and posttest reporting in the first semester of 2016	Repórter Brasil, National Officer and M&E Officer	Determine whether the awareness campaign to be implemented by the Project is able to improve awareness of those exposed to forced labor awareness campaigns.
Output 1.2.1. Communication strategy implemented.					
OTP 4. Number of key opinion leaders, media professionals, and stakeholders trained on communication as a tool to combat forced labor with a gender, race and age perspective.	**Definition:** Count of key opinion leaders, defined as professionals, mainly journalists, from newspapers, radios, and TV networks with at least state level coverage, and stakeholders of the Project trained on communications as a tool to combat forced labor with a gender, race and age perspective. **Unit of measurement:** Trained media professionals.	Administrative records of implementing partner Repórter Brasil.	Once in the project lifetime (April of 2016)	Repórter Brasil, National Officer and M&E Officer	Determine whether the awareness campaign to be implemented by the Project is able to generate and disseminate knowledge about forced labor issues.

[25] This set of questions will be disaggregated by key stakeholder groups and questions will be adapted if necessary to address the diversity of project's key stakeholders: 1) It is necessary to increase awareness about forced labor issues in Brazil (Strongly disagree; Disagree; No opinion or uncertain; Agree; Strongly agree). 2) The campaign format and content are appropriated to the task of promoting awareness about forced labor issues (Strongly disagree; Disagree; No opinion or uncertain; Agree; Strongly agree). 3) How much do you think your awareness on forced labor issues increased after being exposed to the awareness campaign (Very low; Low; Moderate; High; Very high). 4) If you have the perception that any change in awareness was achieved please answer the following question: 4.1.) Does this change in perception of the awareness lead to changes in the planning and implementation of specific activities related to your work (Yes or No, and Why).

Indicator	Indicator Definition* and Unit of Measurement	Data Source	Reporting Frequency	Responsible Person	Data Analysis/Use
IO 2: Increased social dialogue and institutional capacity for public policy implementation at the national and state levels in Brazil.					
SO 2.1. Social dialogue commissions strengthened at national and state levels.					
OTC 3. Ministry of Social Development and Ministry of Labor and Employment sign the Framework for institutional cooperation on forced labor issues.	**Definition:** This is a qualitative indicator describing the process of signing a Framework containing a set of recommendations to the Ministry of Social Development and Ministry of Labor and Employment to support the institutional cooperation on forced labor issues that will facilitate the exchange of information between these institutions, and therefore facilitate the access of forced labor rescued workers to social benefits and social protection through Bolsa Família programme. **Unit of measurement:** Narrative based on three stages process indicator designed to monitor this outcome achievement progress: framework under discussion, framework developed, and framework signed.	Ministry of Social Development official documents.	Every six months according to TPR	National Officer and M&E Officer	Determine whether the social dialogue supported by the Project resulted in recommendations adopted by the Ministry of Social Development and the Ministry of Labor and Employment that will facilitate the exchange of data and information and therefore increase the level of social protection of rescued workers.
Output 2.1.1. CONATRAE's technical capacity to combat forced labor strengthened.					
OTP 5. Monitoring and evaluation system of the National Plan on FL designed and implemented.	**Definition:** This is a qualitative indicator describing the process of implementing a monitoring and evaluation system to support the National Plan to Eradicate Forced Labor **Unit of measurement:** Narrative based on five sub-sequential stages defined to monitor progress in the achievement of this output: Development of indicators and sources matrix; Online tool development; M&E system feeding and testing; CONATRAE validation, and Delivery of operational handbook.	CONATRAE's official meetings minutes, and project's administrative records (selection and monitoring of consultants' contracts)	Every six months according to TPR	CONATRAE's Coordination, National Officer, and M&E Officer	Determine whether the social dialogue supported by the Project resulted in improving CONATRAE's monitoring capacity.

Indicator	Indicator Definition* and Unit of Measurement	Data Source	Reporting Frequency	Responsible Person	Data Analysis/Use
Output 2.1.2. Framework (protocol) for inter-institutional coordination among relevant ministries and national commission developed and signed.					
OTP 6. Recommendations produced for framework of institutional coordination on forced labor issues about the exchange of data and information between the Ministry of Social Development and Ministry of Labor and Employment.	**Definition:** This is a qualitative indicator describing the process of development of a framework for institutional coordination on forced labor issues proposing recommendations pertains to the exchange of data and information between the Ministry of Social Development and the Ministry of Labor and Employment regarding the exchange of information about forced laborers so these can have facilitated access to social protection provided by the Ministry of Social Development (Bolsa Família). **Unit of measurement:** Narrative based on three sub-sequential stages defined to monitor progress in achieving this: Negotiations among Ministry of Social Development and Ministry of Labor and Employment are in place; Institutional cooperation framework is under development, and; Institutional cooperation framework is developed.	Ministry of Social Development official documents.	Every six months according to TPR	National Officer and M&E Officer	Determine whether the social dialogue supported by the Project resulted in CONATRAE's institutional strengthening.
Output 2.1.3. Network to exchange information on forced labor issues established among relevant states (COETRAEs).					
OTP 7. Joint activities developed among COETRAEs network members.	**Definition:** This is a qualitative indicator describing the process of COETRAEs' joint activities development. **Unit of measurement:** Narrative based on three stages defined to monitor progress in achieving this output: COETRAEs have replicated the implementation of CONATRAE's M&E system (low level of institutional convergence); COETRAEs have participated in knowledge and technology transfer activities (mid-level of institutional convergence), and COETRAEs have activities aligned with Decent Work Agendas at the state level (high level of institutional convergence).	COETRAE's official meetings minutes.	Every six months according to TPR	COETRAE's Coordination, National Officer, and M&E Officer	Determine whether social dialogue supported by the Project resulted in COETRAE's institutional strengthening and capacity development.

Indicator	Indicator Definition* and Unit of Measurement	Data Source	Reporting Frequency	Responsible Person	Data Analysis/Use
SO 2.2. Participation of workers' organizations in combating forced labor increased.					
OTC 4. Number of forced labor complaints sent from workers' organizations to the Ministry of Labor and Employment.	**Definition:** Count of complaints sent from CONTAG online complaint tool to the Ministry of Labor and Employment. **Unit of measurement:** Complaints sent to Ministry of Labor and Employment by workers' organizations.	CONTAG online complaint system	Every six months according to TPR	CONTAG's Coordination, National Officer, and M&E Officer	Determine whether the CONTAG's online complaint system, supported by the Project, resulted in increased complaints received by the Ministry of Labor and Employment.
Output 2.2.1. Complaint system on forced labor managed by CONTAG available.					
OTP 8. Number of forced labor complaints issued by workers' organizations in the CONTAG complaint system per six months period.	**Definition:** Count of forced labor complaints received by CONTAG through its online complaint tool. **Unit of measurement:** Complaints received by CONTAG.	CONTAG online complaint system	Every six months according to TPR	CONTAG's Coordination, National Officer, and M&E Officer	Determine whether the CONTAG's online complaint system, supported by the Project, resulted in increased participation of workers' organizations in combating forced labor.
Output 2.2.2. Trade union members' capacity to combat forced labor increased.					
OTP 9. Number of trade union members trained in forced labor issues using material produced by the project.	**Definition:** Count of trade union members linked to CONTAG that where trained in forced labor issues and pass a posttest on knowledge of the same. **Unit of measurement:** Trained trade union members (individuals).	CONTAG's Coordination and project's administrative records (selection and monitoring of consultants' contracts).	Every six months according to TPR	CONTAG's Coordination, National Officer, and M&E Officer	Determine whether the CONTAG's members have increased knowledge and thus are better positioned to combat forced labor in activities supported by the project.

Indicator	Indicator Definition* and Unit of Measurement	Data Source	Reporting Frequency	Responsible Person	Data Analysis/Use
Output 2.2.3. Information material on forced labor for rural workers disseminated.					
OTP 10. Number of rural workers organizations that use dissemination materials on forced labor produced by the project.	**Definition:** Count of rural workers organizations, linked with CONTAG, that carry on the dissemination strategy proposed by the project. **Unit of measurement:** Rural workers organizations.	CONTAG's Coordination and project's administrative records (selection and monitoring of consultants' contracts).	Every six months according to TPR	CONTAG's Coordination, National Officer, and M&E Officer	Determine whether the CONTAG's rural workers organizations, have developed capacities to leverage rural workers awareness about forced labor issues in activities supported by the project.
IO 3: Increased engagement of the private sector and employers' organizations to combat forced labor in Brazil.					
SO 3.1. Sustainability of the National Pact to Eradicate Forced Labor improved.					
OTC 5. Number of companies required to guarantee the National Pact's financial and organizational sustainability that adhered to the National Pact (according to the sustainability plan).	**Definition:** Count of companies that adhered to the National Pact that contribute financially to achieve the Pact goal of raising around USD 300,000. **Unit of measurement:** Pact's member associate companies that contributed to the achievement of raising USD 300,000.	National Pact's Coordination	Every six months according to TPR	National Pact's Coordination, National Officer, and M&E Officer	Determine whether the National Pact is able to increase its financial sustainability through activities supported by the project.
Output 3.1.1. National Pact Institute developed, registered, and operating.					
OTP 11. Number of deliberative council meetings undertaken according to the Pact's social statute.	**Definition:** Count of deliberative council meetings, including assemblies undertaken by the National Pact. **Unit of measurement:** National Pact deliberative meetings.	National Pact's Coordination	Every six months according to TPR	National Pact's Coordination, National Officer, and M&E Officer	Determine whether the National Pact is able to minimally conduct basic organizational and governance activities supported by the project.

Indicator	Indicator Definition* and Unit of Measurement	Data Source	Reporting Frequency	Responsible Person	Data Analysis/Use
SO 3.2. Employers' organizations and companies strengthened to combat forced labor.					
OTC 6. Number of employers' organizations and companies that carry out relevant initiatives to combat forced labor.	**Definition:** Count of employers' organizations and companies that have implemented good practices identified in studies supported by the project. **Unit of measurement:** Employers' organizations and companies.	National Pact's Coordination and project's administrative records (selection and monitoring of consultants' contracts).	Every six months according to TPR	National Pact's Coordination, National Officer, and M&E Officer	Determine whether employer's organizations and companies linked with the National Pact have increased institutional strengthening and capacities developed through activities supported by the project.
Output 3.2.1. Information on how companies are addressing forced labor in their supply chains available.					
OTP 12. Number of sector-oriented workshops supported by the project to disseminate supply-chain studies about the eradication of forced labor.	**Definition:** Count of sector-oriented workshops that have disseminated supply-chain studies about the eradication of forced labor. **Unit of measurement:** Disseminating workshops.	National Pact's Coordination and project's administrative records (selection and monitoring of consultants' contracts).	Every six months according to TPR	National Pact's Coordination, National Officer, and M&E Officer	Determine whether employer's organizations and companies linked with the National Pact are disseminating knowledge produced through activities supported by the project.
Output 3.2.2. Employers' organizations knowledge on forced labor improved.					
OTP 13. Number of representatives that participate in the national employers' seminar on forced labor.	**Definition:** Count of representatives from employer's organizations that participate in the national employers' seminar on forced labor organized with the "S" system (set of nine professional categories institutions that were created by the Brazilian Constitution of 1988). **Unit of measurement:** Employer's organizations' representatives.	Workshop coordination and attendance list.	Once in the project lifetime (October of 2015)	Workshop coordination, National Officer, and M&E Officer	Determine whether organizations and companies linked with the "S" system have mobilized employer's organizations representatives through activities supported by the project.

Indicator	Indicator Definition* and Unit of Measurement	Data Source	Reporting Frequency	Responsible Person	Data Analysis/Use
IO 4: IAP livelihood intervention strengthened and better positioned to reduce socio-economic vulnerability of groups susceptible to forced labor in project's intervention area.					
SO 4.1. IAP intervention replicated and tested in selected states.					
L1 - Number of households receiving IAP livelihood services.	**Definition:** Count of households in which direct beneficiaries of the IAP project live, including forced labor rescued workers, and vulnerable populations treated by this intervention. This is a proxy indicator for the IAP's capacity development and institutional strengthening processes. **Unit of measurement:** Households.	IAP's DBMS	Every six months according to TPR	IAP's Coordination, Field Officer, and M&E Officer	Determine whether the IAP model has experienced institutional strengthening and capacity development through activities supported by the project.
L2 - Number of adults provided with IAP employment services.	**Definition:** Count of direct beneficiaries of the IAP project, including forced labor rescued workers, and vulnerable populations, that received IAP's employment services. This is a proxy indicator for the IAP's capacity development and institutional strengthening processes. **Unit of measurement:** Individuals.	IAP's DBMS	Every six months according to TPR	IAP's Coordination, Field Officer, and M&E Officer	Determine whether the IAP model has experienced institutional strengthening and capacity development through activities supported by the project.
OTC 7. Percentage of project's direct beneficiaries that reported an increase in their income or assets after concluding IAP's livelihood services.	**Definition:** Number of project's direct beneficiaries that reported an increase in their income or assets three months after receiving IAP's livelihood services divided by the total number of project's direct beneficiaries that received IAP's livelihood services. Assets are defined as durable goods listed in the Brazilian Household Survey - PNAD (refrigerators, water filter, freezers, stoves, televisions, washing machines, and radios). **Unit of measurement:** Percentage of individuals.	IAP's DBMS	Every six months according to TPR	IAP's Coordination, Field Officer, and M&E Officer	Determine whether the IAP model is successful in reducing forced laborers socioeconomic vulnerability through an increase in their income.

Indicator	Indicator Definition* and Unit of Measurement	Data Source	Reporting Frequency	Responsible Person	Data Analysis/Use
Output 4.1.1. IAP's communications strategy, monitoring system, and pedagogical plan developed and tested.					
OTP 14. Completion rate for job-skills training provided by IAP (disaggregated by direct beneficiaries' sex, age, and level of education).	**Definition:** Rate of beneficiaries that completed training provided by the IAP. Numerator is the count of beneficiaries that completed training, and the denominator is the number of beneficiaries enrolled in training activities. **Unit of measurement: Rate of** individuals disaggregated by sex, age, race and ethnicity.	IAP's DBMS	Every six months according to TPR	IAP's Coordination, Field Officer, and M&E Officer	Determine whether the IAP model is successful in increasing the direct beneficiary population's minimal technical competencies.
Output 4.1.2. Integrated Action Movement implemented in selected states.					
OTP 15. Number of States enrolled in the Integrated Action Movement.	**Definition:** Count of states that have enrolled in the Integrated Action Movement. **Unit of measurement:** States.	IAP's Coordination, CONATRAE's Coordination, and COETRAE's Coordination's official meetings minutes.	Every six months according to TPR	IAP's Coordination, Field Officer, and M&E Officer	Determine whether the IAP model is successfully replicated in other settings.
IO 5: Improved policies to combat forced labor in Peru.					
SO 5.1. Knowledge-base on forced labor increased and disseminated.					
No need for an indicator since OTC 8 and 9 already contemplated knowledge based activities.					

Indicator	Indicator Definition* and Unit of Measurement	Data Source	Reporting Frequency	Responsible Person	Data Analysis/Use
Output 5.1.1. Studies produced and database on forced labor available.					
OTP 16. Number of studies produced that characterize forced labor in prioritized sectors.	**Definition:** Count of studies and reports about the demographic profile of force labor victims, as well as supply-chain characteristics, focusing prioritized sectors in Peru, that were produced with the Project's support. **Unit of measurement:** Studies and reports.	CNLCTF's Coordination and project's administrative records (selection and monitoring of consultants' contracts).	Every six months according to TPR	National Officer Peru, and M&E Officer	Determine whether the Project is effective in producing relevant information for key stakeholders in Peru.
Output 5.1.2. Communication strategy developed and implemented.					
OTP 17. Number of relevant stakeholders sensitized on forced labor issues.	**Definition:** Count of key stakeholders, defined as the institutions listed in the inter-agency protocol Annex C (N=38), that were sensitized, by the Project, on forced labor issues. **Unit of measurement:** Institutions.	CNLCTF's Coordination and project's administrative records (selection and monitoring of consultants' contracts).	Every six months according to TPR	National Officer Peru, and M&E Officer	Determine whether the project supported increased awareness and knowledge generation on forced labor issues.
SO 5.2. Institutional capacity to carry out actions to combat forced labor in Peru improved.					
OTC 8. Number of actions from the National Plan implemented.	**Definition:** Count of actions defined in the II National Plan to Combat Forced Labor 2013 -2017 (N=26) that were implemented with the Project's support. **Unit of measurement:** Institutions.	Peruvian Ministry of Labor and Employment Promotion, and project's administrative records (selection and monitoring of consultants' contracts).	Every six months according to TPR	National Officer Peru, and M&E Officer	Determine whether the project supported institutional strengthening and capacity development on initiatives designed to combat forced labor in Peru.

Indicator	Indicator Definition* and Unit of Measurement	Data Source	Reporting Frequency	Responsible Person	Data Analysis/Use
Output 5.2.1 National and Regional Commissions for the Fight Against Forced Labor strengthened.					
OTP 18. Number of key stakeholders trained to prevent and combat forced labor.	**Definition:** Count of key stakeholders, defined as the institutions listed in the inter-agency protocol Annex C (N=38), that were trained, by the Project, to prevent and combat forced labor. **Unit of measurement:** Institutions.	CNLCTF's Coordination and project's administrative records (selection and monitoring of consultants' contracts).	Every six months according to TPR	National Officer Peru, and M&E Officer	Determine whether the project supported capacity development and knowledge generation on the prevention and combat of forced labor.
Output 5.2.2 Mechanisms on law enforcement, prevention and victims' assistance improved.					
OTP 19. Forced labor inter-agency protocol approved.	**Definition:** This is a qualitative indicator describing the inter-agency multi-disciplinary protocol designed by the Peruvian government that aims to support the promotion of the forced labor agenda, the prevention of forced labor incidence, the detention of forced labor exploitation perpetrators, and the integral attention and recovery of forced labor forced labor victims, approval process. **Unit of measurement:** Narrative based on binary variable defined to facilitate the monitoring progress in achieving this output: Inter-agency protocol not approved, or inter-agency protocol approved.	Peruvian presidency publication of approved inter-agency protocol.	Every six months according to TPR	National Officer Peru, and M&E Officer	Determine whether the project supported institutional strengthening on the prevention and combat of forced labor, as well as on providing multi-disciplinary services for forced labor victims and their families.
SO 5.3. Exchange mechanism developed between Peruvian and Brazilian governments (CONATRAE and CNLCTF).					
OTC 9. Number of good practices adapted by Peru on the basis of the Brazilian experience.	**Definition:** Count of good practices adapted by Peru that were identified as good practices from the Brazilian experience to prevent and combat forced labor during the elaboration of the Cooperation Agenda. **Unit of measurement:** Practices (such as methodologies, tools, mechanisms).	Cooperation project, or similar document, endorsed by the Brazilian Cooperation Agency (ABC).	Every six months according to TPR	National Officer Peru, and M&E Officer	Determine whether the project supported exchange of technologies and knowledge between stakeholders involved in the combat and prevention of forced labor from Brazil and Peru.

Indicator	Indicator Definition* and Unit of Measurement	Data Source	Reporting Frequency	Responsible Person	Data Analysis/Use
Output 5.3.1. Brazilian good practices to combat forced labor adapted by Peru through horizontal cooperation mechanisms.					
OTP 20. Number of agenda items or activities developed between Brazil and Peru.	**Definition:** This is a qualitative indicator describing the process of developing a cooperation agenda between Brazil and Peru on issues related to the prevention and combat of forced labor, as well as providing forced labor victims and forced labor vulnerable population with multi-disciplinary services. **Unit of measurement:** Narrative based on binary variable defined to facilitate the monitoring of the progress of this output achievement: cooperation agenda not developed, or cooperation agenda developed.	Cooperation project, or similar document, endorsed by the Brazilian Cooperation Agency (ABC).	Every six months according to TPR	National Officer Peru, and M&E Officer	Determine whether the project supported exchange of technologies and knowledge generation between stakeholders involved in the combat and prevention of forced labor from Brazil and Peru.

ANNEX 6: Data Quality Assessment Checklist

Indicator:				
Data Source(s): *(information can be copied from the PMP or DCT)*				
Implementing Partner Who Provided the Data:				
Period for Which the Data Are Being Reported:				
Data Quality Assessment Methodology: Describe the method for assessing the quality of the indicator data—e.g. reviewing data collection procedures and documentation, interviewing those responsibilities for data analysis, checking a sample of the data for errors, etc.				
Date of Assessment:		Assessed by:		
		YES	**NO**	**COMMENTS**
VALIDITY- Data should clearly and adequately represent the intended result.				
1	Does the information collected measure what it is supposed to measure? (a valid measure of overall nutrition is healthy variation in diet; age is not valid measure of overall health.)			
2	Do results collected fall within a plausible range?			
3	Is there reasonable assurance that the data collection methods do not produce systematically biased data (e.g. consistently over-or under-counting)?			
REALIABILITY- Data should reflect stable and consistent processes and analysis methods over time.				
1	When the same data collection method is used to measure the same things multiple times, is the same result produced each time? (e.g. a ruler always indicates the same length for an inch)			
2	Are data collection/analysis methods documented in writing and used to ensure same procedures are followed each time?			
TIMELINESS- Data should be available at a useful frequency, should be current, and should be timely enough to influence management decision making.				
1	Are data available frequently enough to inform program management decisions?			
2	Are data reported the most current practically available?			
3	Are data reported as soon as possible after collection?			

PRECISION- Data have a sufficient level of detail to permit management decision making; e.g. the margin of error is less than the anticipated change.				
1	Is the data collection method used to collect the data exact enough to register the expected change? (a yardstick may not be precise enough to measure change for a few millimeters.)			
INTEGRITY- Data collected should have safeguards to minimize risk of transcription error or data manipulations.				
1	Are safeguards in place to minimize data transcription errors?			
2	Is there independence in key data collection, management, and assessment procedures?			
3	Are mechanisms in place to prevent unauthorized changes to data?			

SUMMARY	
Based on assessment relative to the 5 standards, what is the overall conclusion regarding the quality of the data?	
Significance of limitations (if any):	
Actions needed to address limitations:	
IF NO DATA ARE AVAILABLE FOR THE INDICATOR	**COMMENTS**
If no recent relevant data are available for this indicator, why not?	
What concrete actions are now being taken to collect and report data as soon as possible?	
When will data be reported?	

ANNEX 7: Baseline Survey Tools

The baseline survey design and tools will be added as soon as the external consultant has prepared them.

ANNEX 8: Project Data Collection Table (DCT)

Data Source	Type of Data	Instrument Question or Element	Calculation of Indicator Value	Responsible Project Staff	Timing
1. Baseline and Endline Studies in Mato Grosso					
General Technical Description: The baseline study will collect quantitative and qualitative data from both primary and secondary data sources. The IAP's database will be improved to gather largely primary quantitative and qualitative data from beneficiaries and their households while the Institutional and Territorial Mapping study will focus on the use of data from governmental institutions, including official national statistics, and other relevant studies and reports. The IAP's data collection tools will be carefully prepared so they can be administered consistently and reliably at different times. The endline study will be implemented as the core part of the baseline study, namely the Direct Beneficiary Population Profile and Location study, update over time regarding modules C, D, E, and F. **Sampling:** Not applied. **Instrument Design:** A questionnaire will be structured with closed and open-ended questions. This instrument include modules covering project-specific topics that focus on A) the direct beneficiary population profile and location, B) household demographic characteristics, C) household economic characteristics, D) sources of income and expenditures, E) household infra-structure, and F) direct beneficiary professional characteristics, and G) direct beneficiary livelihood intervention expectations.	**Indicators**				
	L1. Number of households receiving livelihood services	Valid registration on IAP's DBMS	Sum of valid registrations of direct beneficiaries	Field officer, M&E officer, and IAP team	Baseline, every 6 months, and endline
	L2. Number of adults provided with employment services	Valid registration on IAP's DBMS and completion of proposed training or other project interventions	Sum of valid registrations of direct beneficiaries that completed proposed trainings	Field officer, M&E officer, and IAP team	Baseline, every 6 months, and endline
	A) Direct Beneficiary Population Profile and Location	▪ Identification (type of beneficiary) ▪ Name ▪ Nickname ▪ Place of Birth ▪ Date of Birth ▪ Mother ▪ Father ▪ CPF ▪ PIS/NIS ▪ Sex ▪ RG ▪ Race ▪ Marital Status ▪ Employment Status ▪ Educational Level ▪ Occupation ▪ Professional Qualification ▪ Income	Not Applied.	IAP team, Field officer, and M&E officer	Continuous

Obs. Data for the Institutional and Territorial Mapping derives from secondary sources, therefore is not necessary to develop a specific data collection instrument.	B) Household Demographic Characteristics	▪ Address ▪ Last know municipality of residence ▪ Time living in the current address ▪ Migration ▪ Number of residents in the household ▪ Number of dependent residents in the household ▪ Number of children enrolled in school ▪ Illness ▪ Deficiencies ▪ Social protection coverage ▪ Community participation	Not Applied.	IAP team, Field officer, and M&E officer	Continuous
	C) Household Economic Characteristics	▪ Household residents educational level ▪ Household residents occupation ▪ Household residents age ▪ Household residents income ▪ Household residents employment status	Not Applied.	IAP team, Field officer, and M&E officer	Continuous
	D) Sources of Income	▪ Direct beneficiary sources of income ▪ Direct beneficiary expenditure profile	Not Applied.	IAP team, Field officer, and M&E officer	Continuous

	E) Household Infra-Structure	▪ Household area location (urban or rural) ▪ Type of household ▪ Source of energy ▪ Rented or owned ▪ Access to water ▪ Sanitary installations ▪ Type of construction	Not Applied.	IAP team, Field officer, and M&E officer	Continuous
	F) Direct Beneficiary Professional Characteristics	▪ Last place of employment ▪ Starting date ▪ Finishing date ▪ Remuneration ▪ Reason for leaving ▪ Professional activities developed	Not Applied.	IAP team, Field officer, and M&E officer	Continuous
	G) Direct Beneficiary Livelihood Intervention Expectations	▪ Professional expectations ▪ Training expectations ▪ Place where training activities are expected to take place	Not Applied.	IAP team, Field officer, and M&E officer	Continuous

Data Source	Type of Data	Instrument Question or Element	Calculation of Indicator Value	Responsible Project Staff	Timing
Direct Beneficiary Monitoring System (DBMS)					
General Technical Description: DBMS is a beneficiary monitoring tool with defined quality control processes that standardizes definitions of desired outcomes to allow for comparability and accountability. The project's DBMS will include monitoring procedures to track beneficiaries of the Integrated Action Program (IAP) in Mato Grosso. All direct beneficiaries will be monitored and reported using this forced labor specific DBMS adapted from IPEC models. **Target group:** All beneficiaries of the Integrated Action Program will be monitored by this system. **Instrument Design:** The IAP's DBMS will use an online platform that project management and implementing agencies will use to determine whether the services being provided are resulting in the expected outcomes. An IT consultant will be contracted by the project to develop the platform.	**Indicators**				
	L1. Number of households receiving livelihood services	Valid registration on IAP's DBMS	Sum of valid registrations of direct beneficiaries	Field officer, M&E officer, and IAP team	Baseline, every 6 months, and endline
	L2. Number of adults provided with employment services	Valid registration on IAP's DBMS and completion of proposed training or other project interventions	Sum of valid registrations of direct beneficiaries that completed proposed trainings	Field officer, M&E officer, and IAP team	Baseline, every 6 months, and endline

	OTC 7. Percentage of project's direct beneficiaries that reported an increase in their income or assets after concluding IAP's livelihood services.	Valid registration on IAP's DBMS and completion of proposed training or other project interventions	Sum of valid registrations of direct beneficiaries that completed proposed livelihood services and had an increase in their income or assets divided by the sum of direct beneficiaries that completed proposed livelihood services	Field officer, M&E officer, and IAP team	Baseline, every 6 months, and endline
	A) Direct Beneficiary Population Profile and Location	▪ Identification (type of beneficiary) ▪ Name ▪ Nickname ▪ Place of Birth ▪ Date of Birth ▪ Mother ▪ Father ▪ CPF ▪ PIS/NIS ▪ Sex ▪ RG ▪ Race ▪ Marital Status ▪ Employment Status ▪ Educational Level ▪ Occupation ▪ Professional Qualification ▪ Income	Not Applicable.	IAP team, Field officer, and M&E officer	Continuous

	B) Household Demographic Characteristics	▪ Address ▪ Last know municipality of residence ▪ Time living in the current address ▪ Migration ▪ Number of residents in the household ▪ Number of dependent residents in the household ▪ Number of children enrolled in school ▪ Illness ▪ Deficiencies ▪ Social protection coverage ▪ Community participation	Not Applicable.	IAP team, Field officer, and M&E officer	Continuous
	C) Household Economic Characteristics	▪ Household residents educational level ▪ Household residents occupation ▪ Household residents age ▪ Household residents income ▪ Household residents employment status	Not Applicable.	IAP team, Field officer, and M&E officer	Continuous
	D) Sources of Income	▪ Direct beneficiary sources of income ▪ Direct beneficiary expenditure and saving profile	Not Applicable.	IAP team, Field officer, and M&E officer	Continuous
	E) Household Infra-Structure	▪ Household area location (urban or rural) ▪ Type of household ▪ Source of energy ▪ Rented or owned ▪ Access to water ▪ Sanitary installations	Not Applicable.	IAP team, Field officer, and M&E officer	Continuous

		▪ Type of construction			
	F) Direct Beneficiary Professional Characteristics	▪ Last place of employment ▪ Starting date ▪ Finishing date ▪ Remuneration ▪ Reason for leaving ▪ Professional activities developed	Not Applicable.	IAP team, Field officer, and M&E officer	Continuous
	G) Direct Beneficiary Livelihood Intervention Expectations	▪ Professional expectations ▪ Training expectations ▪ Place where training activities are expected to take place	Not Applicable.	IAP team, Field officer, and M&E officer	Continuous

Data Source	Type of Data	Instrument Question or Element	Calculation of Indicator Value	Responsible Project Staff	Timing
Indirect Beneficiary Monitoring System (IBMS)					
General Technical Description: IBMS is an indirect beneficiary monitoring tool with defined quality control processes that standardizes definitions of desired outcomes to allow for comparability and accountability. The project's IBMS will include monitoring procedures to track indirect beneficiaries of project institutional strengthening, capacity development, and knowledge generation activities. **Target group:** National Commission for the Eradication of Forced Labor (CONATRAE); State Commissions for the Eradication of Forced Labor (COETRAEs); National Pact for the Eradication of Forced Labor in Brazil (InPACTO); State governments developing local strategies to eradicate forced labor; National Commission for the Fight Against Forced Labor (CNLCTF); Ministry of Labor and Employment Promotion (MTPE); National Labor Inspection Superintendence (SUNAFIL). **Instrument Design:** The IBMS will use an online	**Indicators**				
	OTC 2. Percentage of target groups individuals who perceive an increase in their level of awareness regarding forced labor issues	Three item likert scale: 1) It is necessary to increase awareness about forced labor issues in Brazil (Strongly disagree; Disagree; No opinion or uncertain; Agree; Strongly agree). 2) The campaign format and content are appropriated to the task of promoting awareness about forced labor issues (Strongly disagree; Disagree; No opinion or uncertain; Agree; Strongly agree). 3) How much do you think your awareness on forced labor issues increased after being exposed to the awareness campaign (Very low; Low; Moderate; High; Very high).	Numerator: Number of interviewed individuals with increased awareness on forced labor issues. Denominator: Number of total interviewed individuals.	Repórter Brasil, National Officer and M&E Officer	Pretest reporting in the first semester of 2015, and posttest reporting in the first semester of 2016

platform that project management and implementing agencies will use to determine whether the services being provided are resulting in the expected outcomes. An IT consultant will be contracted by the project to develop the platform.	OTP 4. Number of key opinion leaders, media professionals, and stakeholders trained on communication as a tool to combat forced labor with a gender, race and age perspective.	Count of key opinion leaders, defined as professionals from newspapers, radios, and TV networks with at least state level coverage, and stakeholders of the Project trained on communications as a tool to combat forced labor with a gender, race and age perspective.	Not Applicable.	Repórter Brasil, National Officer and M&E Officer	Once in the project lifetime (April of 2016)
	OTC 4. Number of forced labor complaints sent from workers' organizations to the Ministry of Labor and Employment.	Count of complaints sent from CONTAG online complaint tool to the Ministry of Labor and Employment.	Not Applicable.	CONTAG's Coordination, National Officer, and M&E Officer	Every six months according to TPR
	OTP 8. Number of forced labor complaints issued by workers' organizations in the CONTAG complaint system per six months period.	Count of forced labor complaints received by CONTAG through its online complaint tool.	Not Applicable.	CONTAG's Coordination, National Officer, and M&E Officer	Every six months according to TPR

	OTP 9. Number of trade union members trained in forced labor issues using material produced by the project.	Count of trade union members linked to CONTAG that where trained in forced labor issues and pass a posttest on knowledge of the same.	Not Applicable.	CONTAG's Coordination, National Officer, and M&E Officer	Every six months according to TPR
	OTP 10. Number of rural workers organizations that use dissemination materials on forced labor produced by the project.	Count of rural workers organizations, linked with CONTAG, that carry on the dissemination strategy proposed by the project.	Not Applicable.	CONTAG's Coordination, National Officer, and M&E Officer	Every six months according to TPR
	OTC 5. Number of companies required to guarantee the National Pact's financial and organizational sustainability that adhered to the National Pact (according to the sustainability plan).	Count of companies that adhered to the National Pact that contribute financially to achieve the Pact goal of raising around USD 300,000.	Not Applicable.	National Pact's Coordination, National Officer, and M&E Officer	Every six months according to TPR
	OTP 11. Number of deliberative council meetings undertaken according to the Pact's social statute.	Count of deliberative council meetings, including assemblies undertaken by the National Pact.	Not Applicable.	National Pact's Coordination, National Officer, and M&E Officer	Every six months according to TPR

	OTC 6. Increase in the number of employers' organizations and companies that carry out relevant initiatives to combat forced labor.	Count of employers' organizations and companies that have implemented good practices identified in studies supported by the project.	Not Applicable.	National Pact's Coordination, National Officer, and M&E Officer	Every six months according to TPR
	OTP 12. Number of sector-oriented workshops supported by the project to disseminate supply-chain studies about the eradication of forced labor.	Count of sector-oriented workshops that have disseminated supply-chain studies about the eradication of forced labor.	Not Applicable.	National Pact's Coordination, National Officer, and M&E Officer	Every six months according to TPR
	OTP 13. Number of representatives that participate in the national employers' seminar on forced labor.	Count of representatives from employer's organizations that participate in the national employers' seminar on forced labor organized with the "S" system (set of nine professional categories institutions that were created by the Brazilian Constitution of 1988).	Not Applicable.	Workshop coordination, National Officer, and M&E Officer	Once in the project lifetime (October of 2015)
	OTP 14. Completion rate for job-skills training provided by IAP (disaggregated by direct beneficiaries' sex, age, and level of education).	Count of direct beneficiaries of the IAP project, including forced labor rescued workers, and vulnerable populations treated by this intervention that concluded their employment services training.	Not Applicable.	IAP's Coordination, Field Officer, and M&E Officer	Every six months according to TPR
	OTP 15. Number of States that implemented adapted versions of	Count of states that have adapted and replicated the IAP model.	Not Applicable.	IAP's Coordination, Field Officer, and M&E Officer	Every six months according to TPR

	IAP.				
	OTC 8. Number of actions from the National Plan implemented.	Count of actions defined in the II National Plan to Combat Forced Labor 2013 - 2017 (N=26) that were implemented with the Project's support.	Not Applicable.	National Officer Peru, and M&E Officer	Every six months according to TPR
	OTP 18. Number of key stakeholders trained to prevent and combat forced labor.	Count of key stakeholders, defined as the institutions listed in the inter-agency protocol Annex C (N=38), that were trained, by the Project, to prevent and combat forced labor.	Not Applicable.	National Officer Peru, and M&E Officer	Every six months according to TPR
	OTC 9. Number of good practices adapted by Peru on the basis of the Brazilian experience.	Count of good practices adapted by Peru on basis of the Brazilian experience to prevent and combat forced labor.	Not Applicable.	National Officer Peru, and M&E Officer	Every six months according to TPR

ANNEX 9: Technical Progress Report Template

TECHNICAL PROGRESS REPORT

Report Date: _____

Month and Year

Technical Progress Report Cover Sheet

<table>
<tr><td>1. Federal Agency and Organization Element to Which Report is Submitted

USDOL/ILAB/OCFT</td><td>2. Federal Grant Number</td><td>3. DUNS Number</td></tr>
<tr><td colspan="3">4. Country and Project Name</td></tr>
<tr><td colspan="3">5. Recipient Organization Contact Information

Field

Headquarters</td></tr>
<tr><td>6. Project/Grant Period

Start Date: (Month Day, Year)

End Date: (Month Day, Year)</td><td>7. Reporting Period End Date

(Month Day, Year)</td><td>8. Final Report?

☐ Yes

☐ No

9. Report Frequency

☐ semi-annual

☐ other</td></tr>
</table>

10. Attachments *(Please mark the checkboxes below to indicate the annexes attached.)*

- ☐ Technical Progress Report
- ☐ Annex A: USDOL Common Indicator Spreadsheet
- ☐ Annex B: Country Capacity Targets (submitted with each October TPR)
- ☐ Annex C: Status of Project Performance Against Indicators
- ☐ Annex D: Response to Donor Comments from Last Technical Progress Report
- ☐ 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
- ☐ Annex H: Other Documents
- ☐ Annex I: Acronym List

12. Certification:

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.

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.[26] 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

[26] The E1 and L1 annual fiscal year targets must be updated once a year in the October technical progress report to reflect implementation realties; however **current and prior fiscal year targets can not 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.

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

USDOL COMMON INDICATOR: **COUNTRY CAPACITY TO ADDRESS CHILD LABOR OR FORCED LABOR**	
1. The adaptation of the legal framework to meet international labor standards	
Project Efforts:	Final Outcomes Achieved:
2. Formulation and adoption of specific policies, plans or programs to combat child labor or forced labor	
Project Efforts:	Final Outcomes Achieved:
3. The inclusion of child labor or forced labor concerns in relevant development, education, anti-poverty, and other social policies and programs	
Project Efforts:	Final Outcomes Achieved:
4. Establishment of a child labor monitoring system (CLMS)	
Project Efforts:	Final Outcomes Achieved:

5. Institutionalization of child labor and forced labor research (including evaluation and data collection)	
Project Efforts:	Final Outcomes Achieved:
6. Institutionalization of training on child labor or forced labor issues within government agencies	
Project Efforts:	Final Outcomes Achieved:

3. Raising Awareness

4. Research

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

6. 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.

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

III. ISSUES AFFECTING THE ACHIEVEMENT OF PROJECT OBJECTIVES

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

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

IV. LESSONS LEARNED

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

V. EMERGING GOOD PRACTICES

Describe in detail any emerging good practices in your program.

VI. LIST OF ACTIVE SUBGRANTS AND SUBCONTRACTS

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

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

VII. ANTICIPATED ACTIVITIES DURING THE NEXT REPORTING PERIOD

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

1. Direct Beneficiary Service Provision

a. Provision of Educational Opportunities to Children

b. Provision of Livelihood Interventions to Households

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

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

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

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

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

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

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

3. Raising Awareness

4. Research

5. Sustainability

6. Monitoring and Evaluation

7. Other

VIII. PROJECT HIGHLIGHT

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

TPR Annex C: Data Reporting Forms

***Highlight green** = Activities associated with indicator are on track*

***Highlight Yellow** = tardy in achieving activities associated with the given indicator.*

***Highlight Red** = Activities associated with indicator are under negotiation, or will not be implemented*

Outcome Indicator		Baseline	Target	2014		2015		2016		Endline Results	Freq. of Report
			Actual	April	October	April	October	April	October		
Project Objective: Contribute to the reduction of forced labor in Brazil and Peru.	PO1. Develop guidelines and strategies for a pilot-project for assistance to victims of forced labor and prevention of re-incidence (C1).	Brazil has no forced labor victims' assistance national comprehensive strategy.	*Target*	The Integrated Action Movement (IAM) is launched.	The IAP is strengthened (Communications Strategy developed and implemented).	The IAP is strengthened (Communications Strategy, Operational Procedures Handbook and the Pedagogic Policy Plan developed and implemented).	The IAP is strengthened (Communications Strategy, Operational Procedures Handbook and the Pedagogic Policy Plan developed and implemented, and monitoring system developed and implemented).	The IAP is strengthened (Communications Strategy, Operational Procedures Handbook and the Pedagogic Policy Plan developed and implemented, and monitoring system developed and implemented).	The IAP is strengthened (Communications Strategy, Operational Procedures Handbook and the Pedagogic Policy Plan developed and implemented, and monitoring system developed and implemented) and IAP is replicated.	A pilot-strategy for assistance to victims of forced labor and prevention of re-incidence tested by the government of Brazil (C1).	Semi-annually
			Actual	The Integrated Action Movement (IAM) was launched in May 2013.	The IAP is strengthened (Communications Strategy is under development).						
	PO2. Roadmap for the implementation of the inter-agency protocol on forced labor endorsed by the government of Peru (C1).	Peru has no roadmap for implementation of inter-agency protocol.	*Target*	The Inter-Agency Protocol is being finalized.	The Inter-Agency Protocol is finalized and published by the Peruvian Presidency and the implementation roadmap is drafted.	The Inter-Agency Protocol is finalized and published by the Peruvian Presidency, the implementation roadmap is drafted, and roadmap implementation negotiations are in place.	The Inter-Agency Protocol is finalized and published by the Peruvian Presidency, the implementation roadmap is drafted, roadmap implementation negotiations are finalized, and the Protocol is endorsed by the Peruvian government.			Roadmap for the implementation of the inter-agency protocol on forced labor endorsed by the government of Peru (C1).	Semi-annually
			Actual	The Inter-Agency Protocol was under development.	The Inter-Agency Protocol was developed, and implementation roadmap was under development.						

Outcome Indicator		Baseline	Target	2014		2015		2016		Endline Results	Freq. of Report
			Actual	April	October	April	October	April	October		
IO 1: Knowledge-base and awareness on forced labor improved among Brazilian key stakeholders and target groups.											
SO 1.1. Data collection mechanisms in Brazil improved.	OTC 1. Improved indicators on forced labor in Brazil validated by CONATRAE.	CONATRAE has no indicators on forced labor.	*Target*	National indicators are drafted.	National indicators are drafted.	National indicators are drafted.	National indicators are discussed.	National indicators are discussed.	National indicators are validated.	Improved indicators on forced labor in Brazil validated by CONATRAE.	Semi-annually
			Actual	National indicators are being drafted.	National indicators are being drafted.						
Output 1.1.1. Pilot-Survey on forced labor available for selected state(s).	OTP 1. Report of Pilot-Survey available.	Brazil has no survey to estimate forced labor prevalence	*Target*	Awareness about the importance of this Pilot-Survey is raised.	Core indicators are adapted.	Sampling and data collection strategies are defined.	Survey is conducted.	Survey is conducted.	Survey final report is produced and disseminated.	Report of Pilot-Survey available.	Semi-annually
			Actual	Awareness about the importance of this Pilot-Survey was raised.	Core indicators are under adaptation.						
Output 1.1.2. Mapping of information gaps among databases addressing forced labor-related issues available.	OTP 2. Recommendations formulated in response to findings from mapping exercise are disseminated to CONATRAE	Brazil has no mapping of databases with information on forced labor.	*Target*	Current databases are being identified and analyzed.	Current databases are identified and analyzed.	Identified databases are systematized and evaluated.	Identified databases are systematized and evaluated.	Proposal on improvements is available.	Proposal on improvements is available.	Recommendations to CONATRAE on mapping exercise available.	Semi-annually
			Actual	Current databases are under identification and analysis.	Current databases are under identification and analysis.						
Output 1.1.3. Brazilian good practices on combating forced labor are identified, systematized and disseminated.	OTP 3. Report on good practices to combat forced labor available and disseminated to key stakeholders.	Brazil has no systematizes information on forced labor good practices.	*Target*	Good practices are identified.	Good practices are identified.	Good practices are being analyzed and systematized.	Good practices are analyzed and systematized.	Good practices report is being elaborated.	Good practices report is elaborated and disseminated.	Report on good practices to combat forced labor available and disseminated to key stakeholders.	Semi-annually
			Actual	Good practices are being identified.	Good practices are being identified.						

Outcome Indicator		Baseline	Target	2014		2015		2016		Endline Results	Freq. of Report
			Actual	April	October	April	October	April	October		
SO 1.2. Awareness on forced labor issues (with age, gender and race perspective) increased among target groups.	OTC 2. Percentage of target groups individuals who perceive an increase in their level of awareness regarding forced labor issues	TBD after pretest.	*Target*	Not applicable.	Not applicable.	TBD after pretest.	Not applicable.	70% increase in comparison with pretest.	Not applicable.	Target groups individuals with improved awareness on forced labor issues increased by 70%.	Pretest reporting in the first semester of 2015, and posttest reporting in the first semester of 2016
			Actual	Not applicable.	Not applicable.						
Output 1.2.1. Communication strategy implemented.	OTP 4. Number of key opinion leaders, media professionals, and stakeholders trained on communication as a tool to combat forced labor with a gender, race and age perspective.	Brazil lacks training on communication as a tool to combat forced labor with a gender, race and age perspective	*Target*	Not applicable.	Not applicable.	Not applicable.	Not applicable.	50	Not applicable.	50 opinion leaders, media professionals, and stakeholders trained on communication as a tool to combat forced labor with a gender, race and age perspective.	Once in the project lifetime (April of 2016).
			Actual	Not applicable.	Not applicable.	Not applicable.	Not applicable.		Not applicable.		

Outcome Indicator		Baseline	Target	2014		2015		2016		Endline Results	Freq. of Report
			Actual	April	October	April	October	April	October		
IO 2: Increased social dialogue and institutional capacity for public policy implementation at the national and state levels in Brazil.											
SO 2.1. Social dialogue commissions strengthened at national and state levels.	OTC 3. Ministry of Social Development and Ministry of Labor and Employment sign the Framework for institutional cooperation on forced labor issues.	Ministry of Labor and Employment and Ministry of Social Development do work together in a coordinated way to share relevant data and information about forced labor.	*Target*	Not applicable.	Framework under discussion.	Framework developed.	Framework signed.	Framework signed.	Framework signed.	Social dialogue strengthening resulted in the exchange of data and information to facilitate forced labor rescued workers access to social protection.	Semi-annually
			Actual	Not applicable.	Framework under discussion.						
Output 2.1.1. CONATRAE's technical capacity to combat forced labor strengthened.	OTP 5. Monitoring and evaluation system of the National Plan on FL designed and implemented.	Brazil has no monitoring and evaluation system of the National Plan designed and implement-ted.	*Target*	Not applicable.	Indicators and sources matrix are developed	Online tool is developed.	M&E system is feed and tested.	CONATRAE validates the system.	Operational handbook is delivered.	Monitoring and evaluation system of the National Plan on FL designed and implemented.	Semi-annually
			Actual	Not applicable.	Activity under negotiation.						

Outcome Indicator		Baseline	Target	2014		2015		2016		Endline Results	Freq. of Report
			Actual	April	October	April	October	April	October		
Output 2.1.2. Framework (protocol) for inter-institutional coordination among relevant ministries and national commission developed and signed.	OTP 6. Recommendations produced for framework of institutional coordination on forced labor issues about the exchange of data and information between the Ministry of Social Development and Ministry of Labor and Employment.	Ministry of Social Develop-ment, and Ministry of Labor and Employment do not have a framework for institution-nal coordination on forced labor issues developed.	*Target*	Negotiations among Ministry of Social Development and Ministry of Labor and Employment are in place.	Institutional cooperation framework is under development.	Institutional cooperation framework is developed.	Institutional cooperation framework is developed.	Institutional cooperation framework is developed.	Institutional cooperation framework is developed.	Ministry of Social Development and Ministry of Labor and Employment have developed a framework for institutional cooperation on forced labor issues.	Semi-annually
			Actual	Negotiations among Ministry of Social Development and Ministry of Labor and Employment are in place.	Institutional cooperation framework is under development.						
Output 2.1.3. Network to exchange information on forced labor issues established among relevant states (COETRAEs).	OTP 7. Joint activities developed among COETRAEs network members.	COETRAEs have not developed joint activities.	*Target*	Not applicable.	Not applicable.	Not applicable.	COETRAEs have replicated the implementation of CONATRAE's M&E system	COETRAEs have participated in knowledge and technology transfer activities	COETRAEs have activities aligned with Decent Work Agendas at the state level	COETRAEs have developed joint activities.	Semi-annually
			Actual	Not applicable.	Not applicable.	Not applicable.					
SO 2.2. Participation of workers' organizations in combating forced labor increased.	OTC 4. Number of forced labor complaints sent from workers' organizations to the Ministry of Labor and Employment.	0	*Target*	Not applicable.	Not applicable.	Not applicable.	50	100	150	500	Semi-annually
			Actual	Not applicable.	Not applicable.	Not applicable.					

Outcome Indicator		Baseline	Target	2014		2015		2016		Endline Results	Freq. of Report
			Actual	April	October	April	October	April	October		
Output 2.2.1. Complaint system on forced labor managed by CONTAG available.	OTP 8. Number of forced labor complaints issued by workers' organizations in the CONTAG complaint system per six months period.	0	*Target*	Not applicable.	Not applicable.	Not applicable.	10	20	30	60	Semi-annually
			Actual	Not applicable.	Not applicable.	Not applicable.					
Output 2.2.2. Trade union members' capacity to combat forced labor increased.	OTP 9. Number of trade union members trained in forced labor issues using material produced by the project.	0	*Target*	Not applicable.	Not applicable.	Not applicable.	60	120	60	240	Semi-annually
			Actual	Not applicable.	Not applicable.	Not applicable.					
Output 2.2.3. Information material on forced labor for rural workers disseminated.	OTP 10. Number of rural workers organizations that use dissemination materials on forced labor produced by the project.	0	*Target*	Not applicable.	Not applicable.	Not applicable.	15	10	10	35	Semi-annually
			Actual	Not applicable.	Not applicable.	Not applicable.					

Outcome Indicator		Baseline	Target	2014		2015		2016		Endline Results	Freq. of Report
			Actual	April	October	April	October	April	October		
IO 3: Increased engagement of the private sector and employers' organizations to combat forced labor in Brazil.											
SO 3.1. Sustainability of the National Pact to Eradicate Forced Labor improved.	OTC 5. Number of companies required to guarantee the National Pact's financial and organizational sustainability that adhered to the National Pact (according to the sustainability plan).	0	*Target*	0	30	15	15	20	20	100	Semi-annually
			Actual	Not applicable.	33						
Output 3.1.1. National Pact Institute developed, registered, and operating.	OTP 11. Number of deliberative council meetings undertaken according to the Pact's social statute.	0	*Target*	2	1	2	1	2	1	18	Semi-annually
			Actual	2	2						
SO 3.2. Employers' organizations and companies strengthened to combat forced labor.	OTC 6. Number of employers' organizations and companies that carry out relevant initiatives to combat forced labor.	0	*Target*	Not applicable.	Not applicable.	2	2	2	2	8	Semi-annually
			Actual	Not applicable.	Not applicable.						
Output 3.2.1. Information on how companies are addressing forced labor in their supply chains available.	OTP 12. Number of sector-oriented workshops supported by the project to disseminate supply-chain studies about the eradication of forced labor.	0	*Target*	Not applicable.	Not applicable.	1	1	1	1	4	Semi-annually
			Actual	Not applicable.	Not applicable.						

Outcome Indicator		Baseline	Target	2014		2015		2016		Endline Results	Freq. of Report
			Actual	April	October	April	October	April	October		
Output 3.2.2. Employers' organizations knowledge on forced labor improved.	OTP 13. Number of representatives that participate in the national employers' seminar on forced labor.	0	*Target*	Not applicable.	Not applicable.	Not applicable.	Not applicable.	50	0	50	Semi-annually
			Actual	Not applicable.	Not applicable.	Not applicable.	Not applicable.				
IO 4: IAP livelihood intervention strengthened and better positioned to reduce socio-economic vulnerability of groups susceptible to forced labor in project's intervention area.											
SO 4.1. IAP's communications strategy, monitoring system, and pedagogical plan developed and tested. developed and tested.	L1 - Number of households receiving livelihood services.	0	*Target*	0	0	100	100	100	100	650	Semi-annually
			Actual	0	61						
	L2 - Number of adults provided with employment services.	0	*Target*	0	0	130	130	130	130	520	Semi-annually
			Actual	0	37 men 25 women (N=62)						
	OTC 7. Percentage of project's direct beneficiaries that reported an increase in their income or assets after concluding IAP's livelihood services.	TBD by April/2015	*Target*	0	0	30%	30%	40%	45%	50%	Semi-annually
			Actual	0	0						

Outcome Indicator		Baseline	Target	2014		2015		2016		Endline Results	Freq. of Report
			Actual	April	October	April	October	April	October		
Output 4.1.1. IAP's communications strategy, monitoring system, and pedagogical plan developed and tested.	OTP 14. Completion rate for job-skills training provided by IAP (disaggregated by direct beneficiaries' sex, age, and level of education).	0	*Target*	0	0	80%	90%	90%	90%	90%	Semi-annually
			Actual	0	0						
Output 4.1.2. Integrated Action Movement implemented in selected states.	OTP 15. Number of states enrolled in the Integrated Action Movement.	0	*Target*	0	0	1	1	1	1	4	Semi-annually
			Actual	0	0						
IO 5: Improved policies to combat forced labor in Peru.											
SO 5.1. Knowledge-base on forced labor increased and disseminated.	No need for an indicator since OTC 8 and 9 already contemplated knowledge based activities.										
Output 5.1.1. Studies produced and database on forced labor available.	OTP 16. Number of studies produced that characterize forced labor in prioritized sectors.	0	*Target*	Not applicable.	Not applicable.	1	1	1	Not applicable.	3	Semi-annually
			Actual	Not applicable.	Not applicable.				Not applicable.		
Output 5.1.2. Communication strategy developed and implemented.	OTP 17. Number of relevant stakeholders sensitized on forced labor issues.	0	*Target*	Not applicable.	Not applicable.	10	10	18	Not applicable.	38	Semi-annually
			Actual	Not applicable.	Not applicable.				Not applicable.		

Outcome Indicator		Baseline	Target	2014		2015		2016		Endline Results	Freq. of Report
			Actual	April	October	April	October	April	October		
SO 5.2. Institutional capacity to carry out actions to combat forced labor in Peru improved.	OTC 8. Number of actions from the National Plan implemented.	0	*Target*	Not applicable.	Not applicable.	6	10	10	Not applicable.	26	Semi-annually
			Actual	Not applicable.	Not applicable.				Not applicable.		
Output 5.2.1 National and Regional Commissions for the Fight Against Forced Labor strengthened.	OTP 18. Number of key stakeholders trained to prevent and combat forced labor.	0	*Target*	Not applicable.	Not applicable.	10	10	18	Not applicable.	38	Semi-annually
			Actual	Not applicable.	Not applicable.				Not applicable.		
Output 5.2.2 Mechanisms on law enforcement, prevention and victims' assistance improved.	OTP 19. Forced labor inter-agency protocol approved.	Peru has not approved protocol.	*Target*	Not applicable.	Not applicable.	Inter-agency protocol not approved	Inter-agency protocol not approved	Inter-agency protocol approved	Not applicable.	Forced labor inter-agency protocol approved.	Semi-annually
			Actual	Not applicable.	Not applicable.				Not applicable.		
SO 5.3. Exchange mechanism developed between Peruvian and Brazilian governments (CONATRAE and CNLCTF).	OTC 9. Number of good practices adapted by Peru on the basis of the Brazilian experience..	0	*Target*	Not applicable.	Not applicable.	2	2	2	Not applicable.	6	Semi-annually
			Actual	Not applicable.	Not applicable.				Not applicable.		

Outcome Indicator		Baseline	Target	2014		2015		2016		Endline Results	Freq. of Report
			Actual	April	October	April	October	April	October		
Output 5.3.1. Brazilian good practices to combat forced labor adapted by Peru through horizontal cooperation mechanisms.	OTP 20. Number of agenda items or activities developed between Brazil and Peru.	Cooperation agenda not developed.	*Target*	Not applicable.	Not applicable.	Cooperation agenda not developed between Brazil and Peru.	Cooperation agenda not developed between Brazil and Peru.	Cooperation agenda developed between Brazil and Peru.	Not applicable.	Cooperation agenda developed between Brazil and Peru.	Semi-annually
			Actual	Not applicable.	Not applicable.				Not applicable.		

IX. LIST OF REQUIRED ANNEXES TO SUBMIT WITH REPORT

Attach the following documents to every technical progress report.

Annex A: USDOL Common Indicators Spreadsheet (Excel)

See the *Companion to the USDOL Common Indicator Spreadsheet* for definitions and instructions. (Submit results with every TPR, and update current and future fiscal year targets in each **October** TPR only.)[27]

Annex B: Current and Long-Term Targets for Improving Country Capacity to Address Child Labor or Forced Labor *(Submit with each **October** TPR)*

See the *Companion to the USDOL Common Indicator Spreadsheet* for definitions and examples for Country Capacity.

Annex C: Status of Project Performance Against Indicators

Report using the project-specific tracking tool developed within the comprehensive monitoring and evaluation plan of the project.

Annex D: Response to Donor Comments from Last Technical Progress Report

Also include any responses already submitted to USDOL.

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

Annex F: Updated Project Work Plan

Annex G: Status of VAT Exemption (Required until VAT Exemption is received)

Use the provided format below to report on the project's status of obtaining VAT exemption.

[27] The E1 and L1 annual fiscal year targets must be updated once a year in the October technical progress report to reflect implementation realties; 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 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

ANNEX 10. Stakeholder Analysis

To maximize the social and institutional benefits of the project and minimize its negative impacts, a stakeholder analysis was conducted to identify those likely to be affected (either positively or negatively) and how. A basic premise behind the stakeholder analysis is that different groups have different concerns, capacities and interests, and that these need to be explicitly understood and recognized in the process of problem identification, objective setting and strategy selection.

Stakeholders' participation is vital to the successful (design and) implementation of a project. Stakeholders can be divided into three categories:

- **Primary stakeholders** are those whose interests lie at the heart of the project. They include potential mainstream providers, and beneficiaries who experience the problem that the project is aiming to solve and are usually users of services.

- **Secondary stakeholders** need to be involved if the project is to achieve its objectives. This group would include partners, statutory agencies (such as government departments), voluntary groups, private-sector organizations and potential funders. These stakeholders are where the primary support will come from and usually where you can identify partners for your Project.

- **Tertiary stakeholders** may not be too involved at the beginning but may be important in the mainstreaming. These will include policy makers, practitioners and other organizations working with similar client groups. These stakeholders can be an important category; they will support the long-term sustainability of a project.

The following tables show the stakeholder analysis and mapping for both Brazil and Peru in the context of the project.

BRAZIL

Stakeholders	Basic characteristics	Problems	Experience, expertise, resources	Potential (capacity to bring about change) H/M/L	Main roles in the project
PRIMARY STAKEHOLDERS					
Workers rescued from forced labor situations by the mobile inspection units	Low level of education, low level or no vocational training, poor, usually migrants (go from one part of the country to another one).	After they are rescued, they do not have the possibility of entering the formal labor market due to poor education and vocational training.	Must be provided the opportunity to have an adequate livelihood.	High	Direct beneficiaries
Adults and adolescents vulnerable to being recruited into forced labor conditions	Low level of education, low level or no vocational training, poor, unemployed or employed under precarious conditions.	Due to their vulnerability, which includes lack of employment opportunities in the formal market, they are at-risk of falling prey of forced labor situations.	Must be provided the opportunity to have an adequate livelihood.	High	Direct beneficiaries
Integrated Action Program	Launched by Mato Grosso's Regional Superintendence of Labor and Employment, the main objective of the Program is to conduct vocational training and social reinsertion of victims rescued from forced labor and/or workers in vulnerable situation living in the state.	Needs to expand outreach to be able to successfully reach a significant number of the rescued workers and at-risk population.	Have developed a three-step methodology that reinserts workers in the labor market (both rescued and vulnerable) and provides them with education and training.	High	Will have a key role as the project's direct intervention. The project will support the replication of the Integrated Action Program in other states.
National Pact to Eradicate Forced Labor	It consists of a public commitment made by companies to combat forced labor, since by signing the Pact they agree to refrain from buying directly or indirectly from companies that are included in the Ministry of Labor's Dirty List. It is hosted by the Ethos institute in partnership with the ILO, NGO Reporter Brasil and Social Observatory Institute.	The current structure, from May 2005, is no longer viable in terms of its financial sustainability and governance structure.	By the end of 2012, more than 400 companies and institutions were signatories to the Pact, accounting for 30% of Brazilian GDP. The Pact has developed its own monitoring system to ensure signatories' compliance.	High	The restructuring of the National Pact will be supported by project activities.

Stakeholders	Basic characteristics	Problems	Experience, expertise, resources	Potential (capacity to bring about change) H/M/L	Main roles in the project
CONATRAE	Brings together different institutions that deal with forced labor at the national level.	Low level of coordination between stakeholders for the development and/or implementation of the national plan.	Are in charge of developing, coordinating, monitoring and implementing the national plans to combat forced labor and have an important mobilization and awareness-raising role.	High	CONATRAE will be the main counterpart of the project and will be significantly involved in the components that have the objective of expanding the knowledge base, strengthening institutional capacities and strengthening of livelihood programs.
SECONDARY STAKEHOLDERS					
FEDERAL LEVEL					
National Human Rights Secretariat	Linked to the Presidency of the Republic, it is responsible for the articulation and implementation of public policies for the promotion and protection of human rights, including forced labor issues.	Not enough human and financial resources available to effectively coordinate the CONATRAE.	It coordinates CONATRAE and the implementation of the National Plan. Has most of the accumulated knowledge on the fight against forced labor in the country.	High	It is the main interlocutor to reach the Commission; therefore, it has a key role in project activities concerning strengthening institutional capacity, increasing the knowledge base and promoting horizontal and South-South Cooperation with Peru.
Ministry of Labor – National Labor Inspection Secretariat	The Ministry is responsible for carrying out labor inspection. It is also responsible for creating public policies for the promotion of employment and decent work; coordinates at the national level the Decent Work Agenda; and through its National Migration Council, formulates public policies on migration.	Needs to coordinate better with the Ministry of Social Development and within the Ministry's departments (labor inspection with the department in charge of employment public policies)	Coordinate the mobile inspection units. Have a significant accumulated knowledge on forced labor issues. The Ministry hosts the database on Unemployment Insurance and on rescued workers.	High	Will have a significant role in all activities related to awareness raising, expansion of the knowledge base, identifying good practices, strengthening social dialogue groups, and may be a significant partner in nationalizing the Integrated Action Program as a nationwide reinsertion and prevention initiative.

Stakeholders	Basic characteristics	Problems	Experience, expertise, resources	Potential (capacity to bring about change) H/M/L	Main roles in the project
Ministry of Social Development	Promotes social inclusion, food security, comprehensive care and cash-transfer programs for families living in poverty, such as Bolsa Familia and Brasil sem Miséria.	Needs to be sensitized to prioritize cash-transfer initiatives to victims of forced labor; needs to improve mechanisms to strengthen municipalities' capacity to register and assist rescued workers in cash-transfer programs.	It is the institution that has the national expertise in mitigating poverty and promoting social inclusion; provides access to social assistance for families in vulnerable situation. It also has the database on the rescued workers that benefit from the Bolsa Familia Program.	High	Raise the number of rescued victims as beneficiaries of social and cash-transfer initiatives as a means of prevention.
JUDICIARY					
Labor Prosecutions Office (MPT)	It is the judicial institution responsible for giving protection to workers relating to fundamental and social rights; their actions focus on preventing or remediating illegalities practiced in the labor market.	In some states of Brazil, there is not sufficient awareness of prosecutors regarding forced labor.	At the federal level it has a section called Coordination for the Eradication of Slave Labor that investigates situations in which workers are subjected to forced labor, debt bondage, or exhaustive working hours and, degrading working conditions. It has the expertise to perform actions that promote judicial and extrajudicial punishment of employers. Through the fines they collect, they have the financial resources to invest in programs/initiatives that support vulnerable workers.	High	Financing livelihood initiatives, specifically the Integrated Action Program in different states. Key partner in promoting awareness raising campaigns.
STATE- LEVEL					
COETRAEs	Brings together different institutions that deal with forced labor at the	Low level of coordination between stakeholders for the development and/or	Are in charge of developing, coordinating, monitoring and implementing the state-level	High	The project will work with COETRAEs to strengthen implementation of the state plans, the replication of the Integrated Action Program and

	state level.	implementation of the state plans.	plans to combat forced labor. They have an important mobilization and awareness-raising role.		strengthening of social dialogue.
State-level social assistance secretariats (CRAS e CREAS)	Offers specialized services for families and individuals at personal and social risk through their CRAS and CREAS.	Very susceptible to political interferences; when there are changes in the municipal governing structure, the social assistants are also likely to change hindering the continuity of initiatives; low capacity to identify victims of forced labor and to register them in cash-transfer programs.	They have the local expertise in mitigating poverty and promoting social inclusion; provide direct access and assistance for families in vulnerable situation.	Medium	Are key in the provision of livelihood opportunities within project activities, will have a key role in the direct intervention, identifying and supporting potential beneficiaries.
State Secretariats of Justice/Human Rights	The state secretariats of Justice coordinate the state-level COETRAEs.	Lack of political will to form and coordinate COETRAEs and low mobilization capacity of key stakeholders are key obstacles in some of the states.	Usually coordinates the COETRAEs and the implementation and development of the state plans.	Medium	As coordinators of the COETRAEs, they have a key role in providing sustainability and mobilizing the Commissions.
EMPLOYERS' ORGANIZATIONS					
Employers' organizations (CNI, CNA, CNC, CNT etc)	The different confederations aggregate the employers' federations and unions of the main economic sectors, such as Industry, Agriculture, Commerce, Transportation, Health, etc.	Not enough awareness raising of associates in the issues of forced labor.	They have expertise about the demands and needs of employers. They also finance the "S System", having resources to contribute with vocational and skills training.	High	Raise awareness among members on CSR and participation in social dialogue groups. Through their members, they can support the project in providing formal employment to direct beneficiaries. They can be key partners in expanding knowledge base on forced labor.
The "S" system (SESI, SENAI, SENAR, SESC, etc)	Composed by institutions that provide vocational and skills training services related to different productive sectors (industry, commerce, agriculture, transport and	Even though the "S" system is present in every state, its decentralized structure results in an uneven quality and provision of services from state to state. In	They are recognized as the leading network of institutions for the provision of vocational and skills training.	Medium	Training and qualification of beneficiaries, construction/adaptation of pedagogical content for the curricula of vocational training courses, integration with income transfer programs and promotion of alternative ways of income

	cooperatives)	addition, they do not have a specific course methodology for victims of forced labor and vulnerable populations.			generation.
WORKERS' ORGANIZATIONS REPRESENTATION					
DIEESE - Department of Statistics and Socioeconomic Studies of Workers' organizations	An institution responds to the main unions in Brazil, and conducts research on the issues related to workers' demands.	They do not have a specific methodology to conduct research on forced labor.	They have the expertise in conducting household surveys and research related to workers interests.	Medium	Potential research institution for survey implementation and other studies related to forced labor.
SINAIT	The union organization represents the category of labor inspectors.	Difficulties in assigning inspectors in certain long-term activities due to their duties in their states.	One of their main priorities has always been combating forced labor through repression. Currently, the have been increasingly involved in the more preventive and victims' assistance aspect.	High	Will support the replication and nationalization of the Integrated Action Program.
CIVIL SOCIETY ORGANIZATIONS					
Reporter Brasil	An NGO whose mission is, through journalism, to identify and make public situations that violate labor rights and environmental harm.	Finds resistance among employers and signatories to the Pact due to its contradictory position as a member of the Pact and as an NGO that produces reports on forced labor practices in different supply chains denouncing companies involved.	Reporter Brasil has expertise on social journalism, in the implementation of educational programs to raise awareness on forced labor (Escravo, Nem Pensar), and in carrying out research on supply chains.	High	Will have a key role in the Pact restructuring process, and as a partner in the implementation of the Escravo, Nem Pensar" Program.
Instituto Ethos	Its mission is to mobilize, sensitize and help companies manage their business in a socially responsible manner, making them partners in	Limited capacity to serve as headquarters for the Executive Secretariat of the	Its expertise is to promote social dialogue amongst enterprises and propose CSR actions.	High	Will have a key role in the Pact restructuring process and its sustainability.

	building a just and sustainable society.	National Pact.			
Instituto Observatório Social	It is a research center of national and international reference in key socio-labor themes, which contributes to the universalization of labor rights.	Limited capacity to conduct the Pact's annual monitoring activity without external financial support.	Conduct studies for the generation of knowledge in social-labor themes.	High	Will have a key role in the Pact restructuring process.
Pastoral Land Commission (CPT)	An entity aimed at the defense of human rights, especially rural workers' labor rights.	Limited human and financial resources.	One of the precursors of fighting forced labor; CPT is recognized as one of the main channels for complaints on forced labor. It brings in a civil society perspective and can work alongside local trade unions.	Medium	Can play a role with the livelihood program and in supporting direct beneficiaries. Can support awareness-raising of workers' organizations at the local level.

RESEARCH INSTUTION					
IPEA – Research institute for applied economics	Institution that conducts research activities in order to provide technical support for the formulation of public policies and programs in Brazil.	They do not have a specific methodology to conduct research on forced labor.	They are nationally recognized as one of the main institutions that carry out research on the different aspects of the world of work.	Medium	Potential research institution for survey implementation and other studies related to forced labor.
TERTIARY STAKEHOLDERS					
Ministry of Justice	Its mission is to ensure and promote civil rights, justice and public safety, through a joint action between the state and society. Coordinates the National Commission to Counter Trafficking in Persons.	Needs to coordinate with the Secretary of Human Rights to integrate the theme of forced labor and trafficking.	Has expertise on fighting trafficking in persons.	Low	Awareness raising, implementation of the legal framework, generation of knowledge, and analysis of the legislation.

Federal Prosecution's Office and Judiciary	Ensure individual, collective and social rights and resolve conflicts between citizens, entities and state.	Needs to improve number of convictions on forced labor and sensitize jurists about the problem and its phenomenon.	Ability to diminish impunity by promoting and imposing financial condemnations for moral damages.	Low	Potential to increase the number of criminal convictions regarding forced labor.
Police Departments (federal and highway police)	Its mission is to assure public safety, in order to preserve public order and the safety of persons and property. Conduct police investigations on sites where forced labor cases were found.	Needs to engage in capacity building and promote awareness raising regarding forced labor issues.	Part of the Mobile inspection units	Medium	Publicizing campaign, implementation of the legal framework.
State-level labor secretaries	Coordinators of the decent work agendas and host the National Employment System in charge of employment intermediation.	The Decent Work Agendas and COETRAEs do not coordinate sufficiently in order to avoid duplication of activities on combating forced labor. In addition, the National Employment Systems currently play no role in placing workers in the formal market.	Have the expertise of intermediation and assigning unemployed workers within the labor market. The Decent Work Agendas have the expertise to address forced labor issues within the broader decent work context.	Medium	In the long term they can support the sustainability and implementation of the state-plans and COETRAEs.
IBGE (National Statistics Institution)	It is the leading provider of data and information in Brazil.	They only work with statistics at the national level and therefore will only introduce forced labor indicators in their questionnaires once they are ready to be implemented nation-wide.	Production and understanding of statistical data, conduction of surveys, construction of baselines for research, data analysis and development of research and evaluation methodologies.	Medium	Long term inclusion of forced labor indicators in surveys

PERU

Stakeholder	Basic characteristics	Problems	Experience, expertise, resources	Potential (capacity to bring about change)	Main roles in the project
PRIMARY STAKEHOLDERS					
Workers victims of forced labor particularly in the prioritized sectors (forestry exploitation, mining and domestic work)	Poor population, usually from rural and Amazon areas. Lack of basic services (education, health, water) as well as employment at the formal labor market.	Due to their vulnerability, they are at-risk of falling prey of forced labor situations	It is required to identify the population at risk on those areas prioritized by the National Plan. Workers must be provided the opportunity to have an adequate livelihood.	High	The estimations of victims of forced labor will allow improving the design and implementation of policies to combat forced labor in Peru.
National Commission for the Fight Against Forced Labor	Brings together different institutions from the public and private sectors, which deal with the eradication of forced labor at the national level.	Low level of coordination for the implementation of the National Plan.	In charge of the policies and actions coordination to combat forced labor, in the different sector levels nationwide. Monitoring and implementing the national Plan to combat forced labor	High	The National Commission will be one of the main counterparts of the project in Peru and will be significantly involved in the components that aim to expanding the knowledge base and strengthening institutional capacities.
Ministry of Labor and Promotion of Employment	Responsible for designing, implementing, coordinating and monitoring public policies related to socio-labor matters, fundamental labor rights, security and health at work; labor inspection, promotion of employment, corporative social responsibility, among others.	Needs to coordinate better within the Ministry's departments or areas related (the Superintendence of Labor Inspection) and with other ministries.	Designs de policy of labor inspection. Have a significant accumulated knowledge on forced labor issues.	High	Will have a crucial role in all activities related to knowledge base expansion, strengthening social dialogue, awareness raising, strengthening institutional capacity.
National Labor Inspection Superintendence (SUNAFIL)	Public organization responsible of the promotion, monitoring and inspection of the labor normative compliance.	It has been created in 2013 and will start the implementation of activities on January 2014. It has a limited budget and needs to reorganize the	Coordinate the mobile inspection group. Experienced group of inspectors requiring training and specialization.	High	Will have an important role for Identifying cases of forced labor through the specialized inspection group. Generate reliable and systematized information to improve policies to combat forced labor.

		labor inspection structure.			
Regional Commission for the Fight Against Forced Labor	Brings together different institutions that deal with forced labor at the regional level. Currently, there is one commission at the regional level. (Ucayali)	Low level mobilization capacity and coordination between stakeholders for the development and/or implementation of actions at the regional level.	In charge of developing, coordinating, monitoring and implementing the regional state-level plans to combat forced labor. Have an important mobilization and awareness-raising role.	High	The project will work to promote the creation of regional commissions with focus on areas of high incidence.
SECONDARY STAKEHOLDERS					
Workers' organizations (CUT, CATP)	Institutions that responds to the main unions in Peru	Not enough knowledge and awareness on issues related to forced labor. Not enough strengthened as stakeholders.	They have the expertise about the demands and needs of workers.	High	Raise awareness among members and strengthen participation in social dialogue groups. Develop networks and programs for preventing and identification of forced labor in their affiliated organizations. They can be key partners in expanding knowledge base on forced labor.
Employers' organizations (CONFIEP, SNI)	Aggregate the employers' unions of the main economic sectors, such as Industry; Mining, Oil and Energy; Agriculture.	Not enough knowledge and awareness on the issues of forced labor.	They have expertise about the demands and needs of employers; count with financial resources to implement actions related to corporative social responsibility (CRS)	High	Raise awareness among members on CSR and participation in social dialogue groups. Develop networks and programs for preventing and identification of forced labor in the economic sectors where intervene.
Judiciary	In charge of the justice administration through its hierarchical organs and subject to the Constitution and the	Not enough knowledge of forced labor issues.	They have the judicial expertise about demands on labor issues and decide the judicial cases.	High	They can be key partners in expanding and applying knowledge base on forced labor. Potential to generate the number of criminal

	laws.		Ability to diminish impunity by imposing financial condemnations for moral damages. Resources to implement training to judges at different state levels.		convictions regarding forced labor.
Ministry of Justice	Design and implement policies to facilitate the justice access, human rights protection, judicial defense of the State, focusing on the inclusion of vulnerable people and fighting corruption.	Not enough knowledge of the scope of forced labor issues. Low level of coordination with other Ministries in relation to forced labor issues.	Main actor to coordinate the pass of the law to modify the Crime Code to include the definition of the forced labor. It has resources to implement trainings at different state levels.	High	Promote the implementation of the legal framework, generation of knowledge, training, and analysis of the legislation.
Ministry of Internal Affairs-MININTER (Permanent Secretary of the Human Rights National Commission)	Executes the functions of internal government and police through police agencies to protect the free exercise of fundamental rights and to maintain democratic internal and public order. Coordinates the National Inter Sectoral Work Group counter Trafficking.		Has expertise on fighting trafficking nationwide. Has implemented the Statistics Crime of Trafficking in Persons Register System (RETA)	High	Expand the RETA register of reported cases on trafficking to include forced labor cases.
Prosecution Ministry	Defense of the law, civil rights and public interests, representing the society in court, for the purpose of defending the social interest, and the prosecution of crime and civil damages	Not enough knowledge about the issues related to forced labor. Needs to improve number of convictions on forced labor and sensitize jurists about the problematic.	Ability to diminish impunity through prosecution actions.	Medium	Potential to increase the number of criminal prosecutions regarding forced labor.
TERTIARY STAKEHOLDERS					
Non-governmental organizations	Non-governmental organizations that pursues to support the development of individuals, organizations and society, focusing on human rights, poverty alleviation, among others.	Low level of coordination. Not enough knowledge about the issues related to forced labor.		High	They can be key partners in expanding the knowledge base on forced labor and raising awareness.

Ministry of Development and Social Inclusion (MIDIS)	Created in Oct. 2011. In charge of designing and implementing policies for social inclusion. It aims to eradicate poverty through the generation of economic opportunities and autonomy. Implements, among others, cash-transfer programs for families living in poverty, such as JUNTOS.	Not enough knowledge of forced labor problematic and scope. Needs to be sensitized in order to include forced labor as part of its agenda. It is not a member of the National Commission for the Fight Against Forced Labor.	It is responsible for mitigating poverty through the provision of assistance (cash transfers) for families in vulnerable situation. It is in charge of the General Household Register (Focalization System of Households).	High	They can be key partners in raising awareness among their beneficiaries and in the long term, implementing social actions to assist temporarily rescued workers.
National Institute of Statistics and Informatics (INEI)	It is the leading institution for the provision of data and information in Peru.	They only work with statistics at the national level and therefore will only introduce forced labor indicators in their questionnaires once they are ready to be implemented nation-wide.	Production and understanding of statistical data, conduction of surveys, construction of baselines for research, data analysis and development of research and evaluation methodologies.	Medium	Long term inclusion of forced labor indicators in survey.

ANNEX 11: Assumptions Analysis

Assumption	Likelihood (High/Medium/Low)	Importance (High/Medium/Low)	Risk level (Red/Yellow/Green)	Mitigation measures
Sustainability assumptions				
Brazil and Peru maintain their commitment and institutional structure to combat forced labor and incorporate project results into public policies.	Medium	High	Yellow	ely involve the National Commissions and key stakeholders from an early start and during project implementation in order to guarantee sustainability.
Development assumptions				
Commitment from relevant line ministries and staff of key agencies secured despite changes in public administration in Brazil and Peru.	Medium	High	Yellow	project will promote the signature of agreements and MOUs to institutionalize commitment of the government, despite changes in
Implementation assumptions				
The National Commissions for the Eradication of Forced Labor in Brazil and Peru are active and supportive of the initiative.	High	High	Green	ership level advocacy from the ILO with the stakeholders that are part of the Commission to keep this issue as a priority.
The state government of Mato Grosso will react positively to the proposed strategies and activities in the state.	Medium	High	Yellow	Actively involve the state of Mato Grosso in the planning and implementation of relevant project activities and formalize cooperation through protocols
Management assumptions				

The project will be complemented by a South-South exchange between Brazil and Peru. Coordination between the two initiatives will need to be managed effectively.	Medium	High	Yellow	ILO office is in close communication with the Brazilian government, especially the Brazilian Cooperation Agency to ensure timely start-up of exchange activities.
Selected project activities will be funded by the Peruvian government.	Medium	High	Yellow	Continue negotiations with the Peruvian government to determine which project activities will be supported.