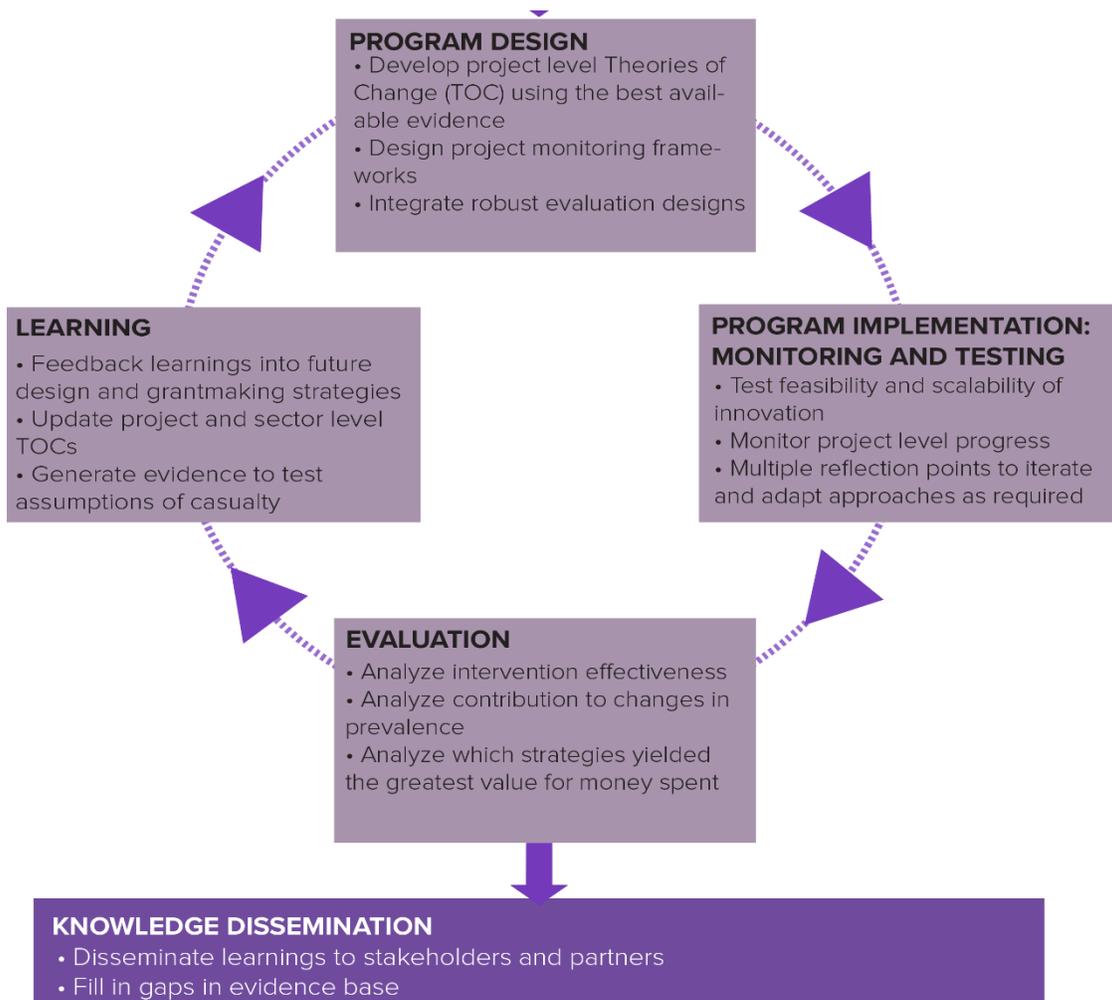


Monitoring, Evaluation, and Learning Strategy

The GFEMS Monitoring, Evaluation, and Learning (MEL) strategy has a sector-based focus that aims to generate evidence and actionable learnings for key stakeholders while also serving to inform the Fund's future investments through project-based monitoring, evaluation and learning, as well as sector-level learning through targeted research. GFEMS will ensure feedback loops between MEL activities and investment strategies, to refine our Theories of Change (ToCs), inform future strategies and program design, and guide project-level course-correction. The goal (see Figure 1) is to support a continuous cycle of learning and reflection at the Fund, sector, and project-level for the development of validated short and longer-term strategies that reduce individual/community vulnerabilities and structural drivers to bring down the prevalence of modern slavery. Cognizant of the challenges of working in complex environments and measuring changes within hard-to-reach populations, GFEMS is committed to testing, learning, and flexibility as foundational to our MEL efforts.

Figure 1: Continuous Learning Cycle through Monitoring, Evaluation, and Learning

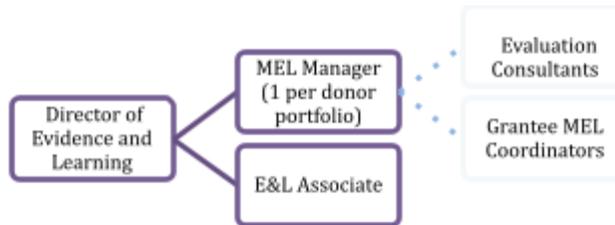


Incorporation of Adaptive Management Processes

GFEMS aims to learn what works and what doesn't work to sustainably reduce the prevalence of modern slavery. Given the complex nature of modern slavery interventions, the Fund is conscious of the need for iterative processes of trying, learning, taking informed risks, reviewing at different stages of projects, and making adjustments. While the MEL activities for PEMS 1 do not include any adaptive components, GFEMS aims to incorporate aspects of adaptive management (such as the integration of community feedback mechanisms and learning feedback loops for uncertain contextual and causal scenarios) into its MEL structures for PEMS 2.

1.1.1. MONITORING, EVALUATION, AND LEARNING GOVERNANCE STRUCTURE

1.1.1.1. MEL TEAM STAFFING PER DONOR



GFEMS Evidence & Learning (E&L) Director

E&L director responsibilities:

- High-level oversight of delivery of all MEL activities according to planned timelines and budgets
- Staffing of E&L team to ensure appropriate allocation of resources and work for MEL
- Leadership on risk management of MEL activities, including adherence to ethical data collection, use and storage
- Overall strategy for research methods and approaches
- Oversight of selection of external consultants for MEL support on project-level evaluations and policy/research studies

GFEMS MEL Manager

MEL Manager responsibilities:

- Operational and technical oversight to delivery of all MEL activities according to planned timelines and budgets
- Collaborate with subrecipients to develop project-level Theory of Change (ToC), logframes, and learning agenda
- Provide on-going support to subrecipients on designing and implementing learning agenda research activities
- Collaborate in selection of external consultants for design and implementation of evaluation components
- Provide on-going oversight and support to external consultants in implementation of evaluation components
- Quarterly review and compiling of logframe data for progress tracking
- Quarterly aggregation of subrecipient data and reporting to fund-level logframe

GFEMS E&L Associate

E&L Associate responsibilities:

- Collaborate in selection of external consultants for implementation of policy and research studies on structural drivers
- On-going support to implementation of policy and research studies on structural drivers
- Support to MEL Manager in synthesizing sector-level learning and liaising with GFEMS Program and Investments Teams to conduct bi-annual reflections meetings to incorporate ToC revisions for each sector.

Subrecipient MEL Coordinators (non-GFEMS Staff)

MEL Coordinator responsibilities:

- Project level logframe reporting to GFEMS
- Coordination and documentation of learning agenda research activities

External Consultants for Evaluation Support (non-GFEMS Staff)

- Collaborate with GFEMS during co-creation to design program evaluation strategies for measuring contribution of program activities to prevalence reduction
- Coordinate and implement any large-scale data collection activities required for implementation of program evaluation activities
- Provide data collection and analysis support as needed to subrecipients for learning agenda research activities

1.1.1.2. SUPPORT TO SUBRECIPIENT PARTNERS

GFEMS MEL Managers will support subrecipient partners with step-wise guidance in developing a monitoring and evaluation plan founded on a project-level ToC developed through informed reflection and collaboration. During this process the GFEMS MEL Manager will facilitate subrecipients in becoming familiar with the GFEMS sector-level ToC to promote alignment and identify opportunities for strengthening strategies to reduce the prevalence of modern slavery. At co-creation, GFEMS works with subrecipients on the development of:

- A project-level of ToC in alignment with the GFEMS sector-level ToC.
- A logframe in alignment with the project-level ToC for tracking specific metrics that measure the hypothesized causal pathways of change, as well as cross-cutting indicators for monitoring CFMS and adaptive processes
- Key performance indicators (KPIs) for monitoring performance and accountability to GFEMS.
- A learning agenda representing a set of questions for addressing evidence gaps in the ToC, ensuring informed adaptations and decision-making for effective implementation processes, and exploring mechanisms to improve organizational efficiencies and sustainability.
- Identification of adaptive components in ToC, logframe, and learning agenda

After co-creation, the responsibility of collecting data for the project-level logframes and conducting research activities for the learning agenda are the responsibility of the subrecipient. The subrecipient MEL coordinator will be the critical key point of contact for the GFEMS MEL Manager. The MEL coordinator will work with GFEMS during the project cycle to compile subrecipient logframe data and supervise and report on learning agenda activities. The GFEMS MEL Manager will coordinate minimally monthly check-ins with each subrecipient to review progress on data collection and learning activities.

GFEMS will ensure that subrecipient-level program budgets are adequate to support the full-time staffing of a qualified MEL coordinator. GFEMS will not assume that such a person will already be on staff with each subrecipient and during co-creation, subrecipients will review their staff capacity. The Fund will work with the subrecipients to ensure that hiring the MEL coordinator, if not already present, is a time-sensitive priority deliverable of the project.

1.1.2. MONITORING OF PROJECTS AND INNOVATION TESTING WILL ENABLE REAL-TIME LEARNING AND COURSE CORRECTION

Sector-level ToC rationale and process

GFEMS will develop one sector TOC for each sector in which it operates. The main objective of these TOCs will be to identify and unpack key assumptions about the Fund's current and desired programming. These TOCs will include not only activities that GFEMS currently funds but also activities that it would like to fund in the future. Desired activities for future funding will be highlighted to denote this difference. Key assumptions will be highlighted in each sector TOC and tested through funded program activities. At the inception of a given program (once subrecipients and activities have been finalized) the MEL Manager will hold a meeting with all GFEMS staff involved in a given sector in that program, and they will link program activities to the sector TOC. At each Program's midpoint and endpoint another meeting will be held to review the TOC and modify it as needed.

Program Sector-level ToC rationale and process

Program Sector TOCs will be developed for each sector in a given program. The only difference between Sector TOCs and Program Sector TOCs will be that the Program Sector TOCs will grey out any activities that are contained in the Sector TOCs but are not occurring in the program. Furthermore, the Program Sector TOCs will be updated on a more frequent basis (every 6 months during program implementation) through reflection workshops with subrecipients. It is important to note that Program Sector TOCs are more context specific than Sector TOCs, so modifications in the former may not lead to changes in latter.

Project-level ToC rationale and process

Sector-level ToCs will be operationalized through the selected projects, and GFEMS will facilitate subrecipients to develop project-level ToCs that are in alignment. Project-level and sector-level ToCs will continuously inform one another as part of the learning cycle.

During the co-creation process, subrecipients will develop project-level ToCs grounded in current evidence and clear articulation of assumptions. The development of the ToC will begin with identifying the available evidence base for the core problem of modern slavery that the subrecipient is trying to solve. Contextualizing for targeted community members, subrecipients will identify the key individual/community vulnerabilities and structural drivers (demographic/ political/ economic/ environmental) that contribute to the core problem. Subrecipients will document their assumptions, and consider the evidence for these linkages, identifying where the key evidence gaps lie and how to strengthen them. During this process subrecipients will identify scenarios of uncertain contexts and causal pathways that require shorter-cycle testing to inform critical decisions.

Equipped with an in-depth understanding of the key vulnerabilities and drivers of modern slavery, assumptions, and strength of evidence, subrecipients will develop logical hypothesis of what potential solutions could be necessary and sufficient to contribute to prevalence reduction.

Grantees will list out activities that they believe can generate the proposed solutions—differentiating between activities that the subrecipients believe they can accomplish during the intervention time-frame, those that may need to be addressed by partners, and those that require a longer time horizon. Subrecipients will align their activities, outputs and outcomes and impact with the GFEMS sector-level ToC. Ultimately, GFEMS intends for each subrecipient to achieve a deep understanding and sense of ownership over their role and contribution to the sector-level ToC.

Project-level logframe rationale and process

The logframe is the primary routine monitoring tool for tracking implementation progress of project activities. The logframe is the project-level “roadmap” representing the hypothetical causal linkages delineated in the ToC through measurable indicators and targets. Each subrecipient will use a common logframe template (See: Subrecipient Logframe Template_GFEMS) to measure quarterly progress towards targets. GFEMS aims to develop an indicator database for the Fund impact domains (rule of law, business investment, sustained freedom). In order to enable meaningful comparison with secondary datasets and across geographies, GFEMS will compile indicators for each domain through a review of government and validated international data resources. During the process of logframe development, along with target-setting, subrecipients will identify for each indicator the source of data, whether the data source is primary or secondary, and the frequency of collection.

The logframe aims to validate the beliefs and evidence underpinning the project-level ToCs through the collection of SMART metrics that measure output of activities, short-term and longer-term outcome indicators at each step of the hypothesized causal pathways. SMART criteria for each indicator include:

Specificity: clear description of **what** will be collected to measure the construct, outcome, or output

Measurability: clear articulation of **how** this data will be collected

Achievability: target-setting for change that **can** be realized over the life of the project

Relevance: **appropriate** and **credible** measures of the intended construct, outcome, or output

Trackable: are the sources of data for the indicator known and **available**

Through the process of checking each criterion, GFEMS aims establish valid and reliable indicators for tracking progress to monitor the general logic of interventions and also facilitate on-going learning and adjustment of program delivery. Quantitative indicators will be collected using absolute values without assumptions of directional change and ensuring both numerator and denominator for each outcome is collected. Qualitative indicators of progress will also be included with definitional descriptions for measurement of target achievements. Particularly in the shorter term, qualitative output indicators will be needed to document progress on critical program processes that need to be established. Deviations from hypothesized output and outcome targets will be formally reviewed as appropriate for process learning, including at six-month intervals by GFEMS and subrecipients to inform sector-level ToC revisions and ensure appropriate project-level adjustments. MEL coordinators will be responsible for submitting logframe data to the GFEMS MEL manager on a quarterly basis. The data will be aggregated across all projects for donor quarterly logframe reporting.

Key Performance Indicators rationale and process

A subset of the logframe indicators will serve as the Key Performance Indicators (KPIs) for GFEMS Program Management Staff to track subrecipient performance on a monthly or quarterly basis. Subrecipients will set appropriate targets for the KPIs according to their understanding of what coverage is likely sufficient for achievement of the intended positive change. Reporting of KPIs will be accompanied with a narrative on how subrecipients themselves are testing their assumptions for how change will happen, the evidence they have gathered for this, and whether this has highlighted the need for any future changes. For KPI monitoring, the subrecipient will be encouraged to continually improve and refine their approach based on learning, and should share with GFEMS the explanations for any suggested changes from planned versus actual targets. For significant changes, subrecipients will prepare a plan for corrective action and provide follow-up reporting on steps taken and subsequent progress after taking corrective action.

Data disaggregation rationale and process

In order to document equitable outreach to the most vulnerable target groups, subrecipients will disaggregate logframe data as part of reporting. Tracking outreach to beneficiaries across sub-groups can provide a real-time check on programmatic bias and facilitate immediate intervention changes needed to promote inclusion of vulnerable populations. Data disaggregation can also serve to provide additional learning on whether sub-populations are achieving intended outcomes differently. Minimally, subrecipients will disaggregate data to monitor access of services across age, sex, disability (measured using the Washington Group Short Set), point of service, and geographic origin of community member. In order to determine who is most vulnerable within each sector, further disaggregation for socioeconomic indicators such as poverty, religion, and caste will be included. All disaggregation indicators will be standardized across subrecipients so that information can be aggregated and compared across projects. Project implementation partners will provide within their narrative reporting, an analysis of this disaggregated data and their reflection and learning from this.

1.1.3. EVALUATION OF SECTOR INTERVENTIONS WILL TEST SECTOR THEORIES OF CHANGE ABOUT HOW TO REDUCE PREVALENCE, AND THE CONTRIBUTION OF INDIVIDUAL PROJECT EFFORTS TO ADDRESS SPECIFIC ECONOMIC AND VULNERABILITY DRIVERS

The Fund's approach to evaluation as the supporting narrative for contribution to prevalence estimates

Through project evaluation activities GFEMS aims to strengthen the quality of evidence on what is working at the sector-level to reduce individual/community vulnerabilities and structural drivers that contribute to prevalence. GFEMS works with subrecipients and external consultants to design evaluations of intervention effectiveness across the individual project activities in order to more rigorously assess contribution of project activities towards sector-level prevalence reduction.

Where projects are designed to address direct community-level socioeconomic risk-factors and determinants, evaluation methods will aim to measure the contribution (effect size and p-value) of the project activities towards desired impact. For activities that aim to contribute to systemic changes that reduce community vulnerabilities, evaluation methods will measure the plausible level of contribution to targeted community members.

Evaluation rationale and process

Evaluations of intervention effectiveness will aim to establish to what extent project activities, and not something else, contributed to changes in targeted outcomes (vulnerabilities) associated with prevalence.

Potential designs for evaluations of intervention effectiveness

Where feasible, GFEMS will integrate into the program design pragmatic and scientifically valid program evaluation methods to measure contribution through methods with minimization and recognition of bias. Due to the diverse nature of project activities and contexts, the evaluation designs will be selected based on feasibility, ethical considerations, and the specific research questions. GFEMS collaborates with subrecipients to identify opportunities to employ more rigorous methods of program evaluation that can be integrated with minimal additional cost and without affecting implementation time-frames. Data collection methods could include (but are not limited to): community-based household surveys, establishment or informal locational surveys, web surveys through social media (Facebook, WhatsApp), and IVR or SMS strategies. GFEMS intends to support improved monitoring and case management systems which have the benefit of tracking individual risks and vulnerabilities.

In the context of system-level interventions and innovations, where measuring large-scale individual vulnerability reduction may not be feasible within the project time-frame, GFEMS will document effectiveness primarily through the use of case study methodologies. These case studies will rely on multiple sources of data to understand implementation, effectiveness, potential contribution to vulnerability reduction of community members, and feasibility of scaling. Methods to be included in case studies could include observational fieldwork, interviews of stakeholders, small quantitative samples of community members, along with analysis of program data.

Evaluation of cost-effectiveness

GFEMS will aim to imbed cost-effectiveness calculations across projects to facilitate the Fund's capacity to review and compare costs for different activities across each sector. The natural unit of analysis will be the key sector-level results that have been hypothesized to contribute to prevalence reduction through ToCs and logframes. GFEMS will support subrecipients to review costs of implementation, identify potential costs averted, and changes in key outcomes to calculate cost-effectiveness ratios. GFEMS aims to integrate these processes into project-level financial management and MEL activities without additional data collection support. The objective for this analysis is to inform strategic choices on which activities to scale, as well as to advocate for additional resources.

The role of the Fund's external consultants for evaluation support

While the logframe and learning agenda will be managed by subrecipients with GFEMS support, the Fund will secure external evaluation consultants to support the evaluations of intervention effectiveness, case studies, and annual surveys of key actors. External consultants will contribute in design through their technical expertise, and their primary function will be to support data collection either through intervention activities (where feasible) or independently. Consultants will also play a role in supporting the Fund's data analysis needs for these larger-scale datasets.

Through a bidding process GFEMS will identify external consultants with technical expertise in mixed methods, learning-focused (e.g. developmental/process), and case management program evaluation approaches. Consultants will be selected based on their field-level expertise in overseeing operational logistics, ethical digital data collection, enumerator training and monitoring,

maintaining secure data management, experience in designing and conducting evaluations in the modern slavery sector, and capacity to communicate complex information. Contractors with previous experience working with/in the Fund's target sectors, geographies, and related experience with those target community populations will be prioritized. GFEMS aims to identify consultants during the early stages of project planning to ensure optimal design, timely and appropriate baseline data collection, and to ensure adequate planning time for managing operations over the life of the grant cycle.

1.1.4. LEARNING FROM THE PROGRAM WILL INFORM FUTURE, LARGER INVESTMENTS BY THE FUND, AND INTERVENTIONS BY OTHER KEY ACTORS

The Fund's approach to learning

In order to promote greater effectiveness and cost-efficiencies across sector-level intervention strategies, GFEMS subrecipients pursue project-based learning agendas, supplemented by GFEMS-led research activities across sectors to explore strategies to address and measure changes in structural drivers.

GFEMS approach to building project-based learning agendas with subrecipients

The subrecipient-level learning agenda complements the monitoring and evaluation activities in creating a strategy for informed decision-making and testing of assumptions. The learning agenda provides an opportunity for subrecipients to introspect on organizational learning needs, gather credible information to substantiate causal pathways, and take steps to improve performance in real-time for corrective-action. Subrecipients may also identify what evidence is needed to advocate for program activities to key decision-makers and stakeholders—ranging from cost efficiencies to scalability. Subrecipients will finalize a set of 5-10 questions to work on over the course of the intervention. The learning agenda will be considered their own “living” document that can evolve as subrecipients incorporate new information.

During co-creation, subrecipients will initiate the process of setting a learning agenda aligned with the ToC and logframe. During the ToC/logframe development activities subrecipients will have documented evidence gaps for the hypothesized changes in outcomes and hypothesized causal linkages. Subrecipients will revisit their ToCs to categorize those gaps and assumptions under key performance areas of program effectiveness, efficiency, relevancy, sustainability, and contribution to impact. Subrecipients will use this framework to have a discussion on what kind of evidence they need for effective implementation, and to make real-time decisions on program delivery. Learning methods to support effective implementation will include appropriate designs for shorter feedback cycles and iterative learning. Subrecipients can utilize research methods including case studies, business analyses, literature reviews, stakeholder workshops & dialogues, analysis of secondary or administrative data, or primary data collection that remains within the scope of intervention activities. Through the learning agenda new information will be emerging more frequently, at multiple decision points, which can be leveraged for informing program course-corrections.

GFEMS expects that through the learning agenda, subrecipients will produce appropriate documentation for each question including the learning questions, methods, findings, and actions taken in response to learning.

Supporting Subrecipient MEL capacity

During the co-creation process, subrecipients will do a self-assessment of their overall MEL technical capacity to implement MEL activities.

This will require reviewing capacities of subrecipients in terms of:

- Skills for implementation of appropriate data collection tools and methods
- Experience or knowledge of methods for evidence interpretation, including forms of strategy testing or similar
- Scope to embed learning as part of program decision making (with appropriate links between MEL and program management)
- Ability to create flexible and open work cultures - encouraging curiosity, agility, and willingness to acknowledge what is not working and take action

Where additional resources are required by the subrecipients, particularly on additional data collection and analysis needs, GFEMS may provide support through the external consultants.

GFEMS Fund-level learning on structural drivers

A critical aspect of the GFEMS fund-level learning is to identify, test, and implement innovations and interventions that can positively impact structural vulnerabilities and drivers that contribute to modern slavery. Addressing structural factors that encompass social, economic, legal, and political conditions can be beyond the scope of project-level activities and evaluation. GFEMS intends to conduct additional research activities to learn how to address the larger systemic conditions that perpetuate the prevalence of modern slavery. This research could entail studies to validate the size of influence of specific drivers within a sector-geography, as well as research to test methods or innovations with the potential to disrupt those drivers. A longer-term objective of this research is to inform the development of sector-level strategies with an in-depth understanding of plausible causal pathways and potential unintended consequences. Within design phase sector analyses and strategies GFEMS will identify priority areas for research on structural drivers and community/individual vulnerabilities alongside of funding interventions and innovations.

Responsible Data Use/Management

GFEMS believes it is their responsibility as well as the responsibility of their subrecipients to collectively prioritize any ethical, legal, social, and privacy-related challenges inherent in any aspect of data use within our research and evaluation work. To prioritize these concerns, GFEMS has developed a Responsible Data Management (RDM) Guidance Note (See Responsible Data Management Guidance_GFEMS), which will be part of the larger MEL companion operational guide. Data collection, analysis, storage, sharing, and dissemination of research and knowledge products play a vital part in our operations. GFEMS respects the rights of individuals and dignity of research participants through the entire data processing lifecycle, and data safeguarding is critical to our work. Hence this RDM guidance will be applicable to internal staff as well as to all of the Fund's partners (including any subrecipients, third party research contractors and consultants) who may engage with data and its subjects (research participants). This document includes steps and core research principles including informed consent, minimization and anonymization of personal data collection, ensuring confidentiality, and seeking IRB review/approval for relevant research. to consider throughout the data life cycle—from collection to disposal of data.

In addition to this guidance, GFEMS has also developed Information Security Guidelines which outlines a decision-making framework for the protection of potentially sensitive data, and serves as a baseline security vigilance across the organization. The framework suggests a three-step process in handling new data: 1) make an inventory 2) assess contribution to impact 3) develop workflow to mitigate. The guidelines also include a data security menu which contains practical tools available for staff to use in storing and transmitting data securely online. GFEMS is committed to embedding

RDM practices and behavior within its own operations and work culture while also advocating for better policies and actions around RDM amongst its partner organization. Further legal advice will be sought to ensure both these documents' applicability before being formally implemented.

In summary, the overall MEL strategy is to contribute to the development of evidence-based models for ending modern slavery using agile and rigorous methods. GFEMS will work with projects working in highly complex and uncertain environments to try, test, learn and revise for improved program delivery mechanisms. With the support of subrecipients and consultants, GFEMS will synthesize learning from:

- Logframe project monitoring data
- Findings from learning agenda research activities (subrecipient project-based and Fund-level)
- Findings from the innovation testing activities
- Project-level evaluation activities to measure contribution of activities to prevalence reduction

Evidence will be used to inform sector-level ToC development for improved intervention processes and model design, scale-out of successful innovations, and for demonstrable influence on key actors in the anti-slavery sector.